

EXHIBIT V

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15 UNITED STATES DISTRICT COURT
16 NORTHERN DISTRICT OF CALIFORNIA
17 SAN FRANCISCO DIVISION

18 IN RE SEAGATE TECHNOLOGY LLC
19 LITIGATION

No. 3:16-cv-00523-JCS

20 **REBUTTAL DECLARATION OF**
21 **ANDREW HOSPODOR IN SUPPORT**
22 **OF PLAINTIFFS' MOTION FOR**
23 **CLASS CERTIFICATION**

24 DATE: March 30, 2018
TIME: 9:30 a.m.
DEPT: Hon. Joseph C. Spero
Courtroom G, 15th Floor

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I. INTRODUCTION

1. I, Andrew Hospodor, was retained by counsel for Plaintiffs in *In Re Seagate Technology, LLC, Case No. 3:16-cv-00523-JCS*, to determine whether the ST3000DM001 had a higher than advertised Annualized Failure Rate (“AFR”) and whether it was suitable for RAID. I have also been asked to opine, based upon my knowledge of hard drive industry’s best practices, on the ST3000DM001’s level of reliability, as well as the design and manufacturing processes employed by Seagate for the ST3000DM001, including reliability testing and quality control. I concluded that the ST3000DM001 had a higher than advertised Annualized Failure Rate, was unsuitable for RAID, and was unreliable by industry standards and that Seagate was aware of these issues.

2. I previously submitted a Declaration on November 8, 2017 (“Hospodor Declaration”) where I set forth my opinions and conclusions which were based upon methods and analyses of a type reasonably relied upon by experts in my field in forming opinions or inferences on the subject.

3. I submit this Rebuttal Declaration in response to the Declaration by Donald Adams, PE, dated January 5, 2018 (“Adams Declaration”), submitted by Seagate Technology LLC in opposition to Plaintiffs’ motion for class certification in this matter. Throughout this Declaration, I refer to the hard drives at issue in this litigation – the ST3000DM001 bare drive as well as the external hard drives using the ST3000DM001 – as the “Drive” or “Drives.”

4. A list of the documents I have relied on or considered in forming my conclusions are attached hereto as Appendix 1.

II. SUMMARY OF REBUTTAL OPINIONS

5. Based on a thorough review and analysis of the Adams Declaration, I have formed the following opinions:

- The Adams Declaration misleadingly ignores that Seagate shipped over a million defective Drives to consumers. Adams claims that consumers did not receive bad Drives with a high annualized failure rate (“AFR”) because Seagate performed ongoing reliability testing (“ORT”) and implemented “ship holds” to freeze shipments of defective Drives. However, Adams either does not realize or ignores the fact that Seagate shipped multitudes of bad Drives to consumers

1 before the ship holds were put into place. In fact, several Stop Ship Orders
 2 explicitly stated the number of *affected* Drives that had *already* been shipped to
 3 consumers at the time of the ship holds. Based on these documents and the other
 4 evidence reviewed, I conclude that Seagate shipped over a million defective,
 5 unreliable Drives that ultimately reached consumers.

- 6 • The Adams Declaration’s arguments regarding the magnitude of the Apple recall
 7 are erroneous in that they ignore facts and are based upon faulty reasoning.
 8 Adams ignores that the Drives affected by the contamination issue that led to the
 9 Apple recall were Grenada BP, which contradicts his overarching (erroneous)
 10 argument that there is a dearth of evidence pertaining to problems with that Drive
 11 version. Seagate sold at least 850,000 non-OEM (i.e. disty/SBS) Drives that were
 12 affected by the same contamination problem, and Seagate never issued a recall
 13 for them. Based on the evidence I have reviewed, I conclude that contamination
 14 (and other systemic problems affecting reliability) was not limited to the Grenada
 15 Classic, Grenada BP, or the pre- May 2013 timeframe, but was rather a constant
 16 and major issue throughout the class period and across all iterations of the Drive.
- 17 • The Adams Declaration’s contention that no other OEMs “reported problems
 18 with the Drives” is belied by the evidence. [REDACTED]
 19 [REDACTED]
 20 [REDACTED]
 21 [REDACTED]
 22 [REDACTED]
 23 [REDACTED]
 24 [REDACTED]
 25 [REDACTED]
 26 [REDACTED]
 27 [REDACTED]
 28 [REDACTED]
- The Adams Declaration ignores that, among other things, Seagate’s own ORT of
 the Drives reveal that Seagate was aware that the Drives were unreliable and had
 an AFR that was higher than industry standard. The argument that there is “no
 evidence that Grenada BP or Grenada BP2 drives had AFRs over 1%” is wholly
 incorrect and contradicted by the evidence.
- In addition to erroneously dismissing that the Drives’ field AFR was higher than
 Seagate’s projected AFR, the Adams Declaration ignores the fact that the
 Backblaze reports evidence that the AFR of the Drives increased over time (i.e.
 they had a Weibull beta of >1). Indeed, the Backblaze data demonstrates that the
 ST3000DM001 was significantly less reliable than its competitors and exhibited
 a dramatically increasing failure rate.
- The Adams Declaration mischaracterizes the Hospodor Declaration,
 misrepresents the extent to which Seagate marketed the Drives as being highly
 reliable, and ignores that this case involves Seagate’s failure to disclose that the
 ST3000DM001 had a high AFR and was unreliable, both of which I conclude
 were known by Seagate. Adams’ opinions regarding the external Drives also
 indicate that he is not familiar with the type of external Drives at issue in this
 litigation or with consumer operating environments.

- The Adams Declaration's contention that the number and pattern of ECRs cannot be used to determine AFR is little more than a straw man. No such claim was made in the Hospodor Declaration. Rather, the point that Adams selectively ignores is that an ECR rate of more than one a day is indicative of an unstable, prematurely released product. Indeed, the sheer number of post-release changes show that each iteration of the Drive was unstable and released prematurely to consumers.

III. REBUTTAL OPINIONS

A. Adams Ignores the Fact that Seagate Shipped Millions of Bad, Unreliable, Drives to Consumers

1. Adams' Position that Ship Holds Prevented Bad Drives from Reaching Consumers is Nonsensical and Contradicted by the Ship Hold Documents

6. Adams' claim that defective Drives were not shipped to consumers defies logic and is flatly contradicted by Seagate's ship hold documents. Adams asserts that the post-release ORT discussed in the Hospodor Declaration and at length herein are irrelevant because ship holds prevented any bad Drives from reaching consumers.¹ That is not true. Adams either misses or ignores the fact that numerous ship hold documents, including the Stop Ship Order for one of the ship holds that Adams relies on, *list the number of affected Drives that were shipped* to customers before the ship hold was put in place.² Accordingly, even if a ship hold stopped Drives from being shipped to consumers after it was implemented, it did nothing with respect to Drives that had already been shipped and sold that suffered from problems that later led to a ship hold.

7. Seagate conducts ORT on a rolling basis, whereby each week 100 to 200 drives are selected for testing that lasts six weeks.³ ORT therefore consists of a pipeline, with the oldest drives being under test for 6 weeks and the newest drives just starting their testing. In such a system, it will take a certain amount of time for problems to occur and for them to propagate through the pipeline. By the time a trigger point is reached, it is inevitable that multiple days or

¹ Adams Decl, at ¶ 22, 48, 64-65.

² See FED_SEAG0054972. Unsurprisingly, Adams does not cite this Stop Ship Order, but simply cites Netel's declaration for the general proposition that a ship hold had been implemented.

³ Netel, Decl., at ¶ 11.

1 weeks of production would have occurred with the bad parts, processes, firmware, or other
 2 components. These Drives may still be works-in-progress (“WIP”)⁴ or Finished Good Inventory
 3 (“FGI”)⁵, or they may have already been shipped.

4 8. In addition to the fact that Seagate’s ORT and stop ship mechanisms, by their
 5 nature, do not prevent all bad Drives from reaching consumers, an internal Seagate email
 6 suggests that Seagate was careless in handling stop ship and quality control processes for the
 7 Grenada. In response to an email regarding a July 2012 ship hold, John Grieci, an electrical
 8 failure analysis engineer at Seagate, said:

9 What are we doing here with Granada [sic]? We seem to trigger
 10 often. We shipped 145K drives and we are holding 31K drives to
 11 screen I guess? This makes no sense!!! We are not managing
 quality here, we are just shipping product that will bite us later.

12 We NEED a longer term plan here. This drive does not seem like
 13 a good drive⁶

14 9. This ship hold was for particle contamination, and, as can be seen from the
 15 above-quoted language, Seagate shipped 145,000 affected Drives in this one instance alone. As
 16 discussed in greater detail below, Seagate shipped approximately 320,000 affected Drives in
 17 another instance. In total, Seagate shipped **at least 1.9 million** defective Drives despite ship
 18 holds being implemented, and **potentially millions more**.⁷

19 10. As discussed in the Hospodor Declaration, an ORT document dated February 7,
 20 2012 reveals that the AFR for the Drive was above 1% for 12 weeks straight and reached 2.21%
 21 and was trending higher.⁸ A ship hold was put in place near the end of this twelve-week period,
 22 on February 4, 2012, due to the Mean Time Before Failure (“MTBF”) limit being breached.⁹

23 ⁴ WIP refers to Drives that are in the process of being built or assembled but not yet
 24 completed.

25 ⁵ FGI refers to Drives that have been manufactured but are still at the factory awaiting
 shipment.

26 ⁶ FED_SEAG0060976, at 60978.

27 ⁷ Included in the 1.9 million figure are 850,000 Drives that were shipped with a defect that
 later prompted a recall by Apple, which is discussed below.

28 ⁸ FED_SEAG0009670, at 9681.

⁹ FED_SEAG0054972, at 54973.

Specifically, the Stop Ship Order states that ORT MTBF was at 90,000 hours, which is nearly three times worse than Seagate's 250,000 hour specification.¹⁰ The Stop Ship Order further states that in the four weeks leading up to the ship hold, Drive failures had doubled.¹¹ The ship hold covered disty Drives but not Seagate Branded Storage ("SBS") Drives sold to consumers, even though these were the same ST3000DM001 Drives that were not meeting the MTBF specification and were failing ORT at an increasing rate.¹²

11. Adams claims that the 12-week ORT AFR data is immaterial because the ship hold prevented bad Drives from reaching consumers.¹³ Adams ignores the fact that the ship hold did *not* apply to SBS Drives. Adams also disregards, or misses, the fact that the Stop Ship Order itself includes a table listing the number of affected Drives that were WIP (meaning works-in-progress), FGI (meaning still at the factory and awaiting shipment), and Shipped.¹⁴ It includes all three factories at which the ST3000DM001 was produced: Korat, Thailand; Wuxi, China; and SuZhou, China. As can be seen by the table, reproduced below, **320,025 drives had been shipped** from the Korat factory alone.¹⁵

ORT SSO# 0187	WIP	FGI	Shipped	Total	Remark
Korat	46558	25063	320025	391646	
Wuxi	Under data crunch	81625	Under data crunch	81625	2TB under identify for affected from 12400 drive.
SuZhou	Under data crunch	231590	Under data crunch	231590	2TB under identify for affected from 37400 drive.
Total	46558	338278	320025	704861	

Figure 1: Qnty. of Drives impacted by the 2/4/2012 ship hold, FED_SEAG0054972, at 54974.

¹⁰ *Id.* The lower the MTBF, the less reliable the hard drive. All else being equal, a lower MTBF equates to a higher AFR.

¹¹ *Id.*

¹² *Id.* Dewey, Almgren, and Adams assert that Seagate requires SBS Drives to meet an MTBF of only 100,000 hours (equivalent to 2.37% AFR with a 2400 power on hours assumption). However, Seagate marketed its hard drives to be used more than for occasional backup, such as for home servers or storage expansion, as discussed below. Such a low MTBF target is inappropriate for such uses and inconsistent with the representations Seagate made to consumers. Nonetheless, the MTBF was below even the 100,000 hour target, at 90,000 hours, yet Seagate did not stop ship the SBS Drives.

¹³ Adams Decl., at ¶ 65.

¹⁴ FED_SEAG0054972, at 54974.

¹⁵ It bears noting that the ship hold at issue applied to the 1TB, 2TB, and 3TB ST3000DM001 Drives. It does not break down the number of shipped Drives by capacity.

12. This table notes that the shipped data for Wuxi and SuZhou were not yet available. However, if the ratio of Shipped to FGI is roughly the same for all three factories (i.e. about 12.7:1), then Wuxi would have shipped 1,042,255 affected drives and SuZhou would have shipped 2,957,131 affected drives. Although these last two numbers are speculative, it is clear from the Stop Ship Order that the shipped quantities from Wuxi and SuZhou were likely substantial. Thus, this document clearly shows that, contrary to Adams' argument that no affected Drives were shipped, **hundreds of thousands, and possibly millions, of out-of-specification drives were shipped in this one instance alone.**¹⁶

13. Adams also attempts to dismiss as irrelevant ORT results from June 4, 2012.¹⁷ There, Seagate discovered that the Drives had a raw AFR of 3.436% and a projected AFR of 2.35% after corrective actions.¹⁸ Adams claims that these results are irrelevant because a ship hold purportedly prevented the Drives in question from being shipped to consumers.¹⁹ Adams' argument is baseless.

14. The ship hold referred to by Adams was put into place on May 31, 2012 and was due to a faulty Disk Separator Plate ("DSP") in the Drive.²⁰ The Ship Hold Order does not mention how many affected Drives had already been shipped, but the number was likely substantial, as the DSP was released two years prior to the ship hold and was used "since early

¹⁶ Adams' argument is also belied by the length of the ship hold. It was implemented on February 4, 2012 and released on February 8, 2012 (i.e. it was in place for 4 days). *See* FED_SEAG0055127, at 55130 (lists creation date of the SSO as February 4, 2012); *id.* at 55127 ("SSO is released for Disty/OEM based on paper sort criteria as of Feb. 8"). Adams does not point to any documentation that supports the notion that a ship hold was in place for the entire 12-week period. Indeed, it is obvious that ship holds were not in place for the entire period, as such a stoppage would have undoubtedly created a veritable blizzard of documents.

¹⁷ Adams Decl., at ¶¶ 63-64.

¹⁸ In his declaration, Netel criticizes my analysis of the ORT results on the basis that the results I reported are the "raw" AFR. *See* Netel Decl., at ¶ 21. That is a misleading statement. The 3.436% figure is the raw AFR, but 2.35% is not the raw AFR but rather the reduced AFR projection, which reflects the effects of the fixes Seagate implemented.

¹⁹ Adams Decl. ¶¶ 63-64.

²⁰ FED_SEAG0054950.

1 Gen development phases.”²¹ Accordingly, Adams’ argument that the DSP ship hold prevented
2 any bad Drives from reaching consumers is unfounded.

3 15. The DSP ship hold was lifted on June 14, 2012, and it appears that it was lifted
4 despite the AFR still being high. Netel claims in his declaration “Seagate would have
5 implemented fixes to reduce the AFR below the trigger limit before shipping drives”²²
6 However, Netel provides no documentary evidence that this was indeed the case for this ship
7 hold. To the contrary, the June 4, 2012 ORT results demonstrate that Seagate only projected the
8 reduction of AFR from 3.436% to 2.35% (not <1%), which is still nearly seven times greater
9 than the advertised AFR of 0.34%. Moreover, the “potential reduced AFR” projection was
10 1.79%. Potential reduced AFR is an unproven projected value; that is, it is the AFR Seagate
11 thinks it can accomplish if its corrective actions achieve their maximum effectiveness. A
12 “potential reduced AFR” of 1.79% indicates that Seagate did not believe that it could meet the
13 advertised AFR even after corrective actions met their maximum projected effectiveness.

14 16. The above ship holds are not the only instances where defective Drives reached
15 consumers. In one instance, Seagate shipped over 303,000 Drives with a bad preamp component
16 before implementing a ship hold.²³ In another instance, Seagate shipped 152,164 Drives with a
17 defective part called a crashstop.²⁴ By way of further example, Seagate shipped 219,889 Drives
18 from a batch that had unacceptably high thermal voltage margin (“TVM”) failure rates.²⁵
19 Additionally, in another instance, Seagate put a ship hold in place for OEM Drives, 85,000 of
20 which had already been shipped, and instructed the factories to “Downgrade failed drives to
21 Disty and SBS.”²⁶

22 _____
23 ²¹ FED_SEAG0026751, at 26781.

24 ²² Netel Decl., at ¶ 21

25 ²³ FED_SEAG0055139, at 55140

26 ²⁴ FED_SEAG0016862, at 16863

27 ²⁵ FED_SEAG0058176, at 58180.

28 ²⁶ FED_SEAG0055041, at 55043-44. As discussed in the Hospodor Declaration, Seagate
used SBS and disty as a dumping ground for failed OEM Drives. Regarding “downgrading”
Drives to SBS, Netel contends that Seagate “always validated that the drives passed testing for
SBS before shipping.” As discussed above, Seagate’s MTBF benchmark for SBS Drives is
100K hours. For Drives such as the GoFlex Home and Expansion Desk, which are not

17. These examples, along with the ship holds discussed previously, account for **over a million drives**. The true number of shipped drives is likely substantially higher, given that: (1) Seagate did not place a ship hold on the DSP until a year after the Drive's initial release;²⁷ (2) the number of Drives shipped from Wuxi and SuZhou before the February 7, 2012 ship hold was implemented is not listed; and (3) there were many other ship holds and a recall by Apple, as discussed below.

18. As mentioned in the Hospodor Declaration, Seagate put at least 13 ship holds on the drive between June 2011 and August 2012 alone. Indeed, additional Seagate documents suggest that there were more.²⁸ Adams observes that the ship holds I cited were from 2011 and 2012 and, with one exception, for the Grenada Classic.²⁹ This is a valid observation. However, this does not mean that there were no ship holds outside of 2011 or 2012 or that the ship holds were essentially limited to the Grenada Classic. Other examples beyond those cited in my opening declaration are:

- FED_SEAG0054844: Dated July 19, 2012, showing Grenada BP being placed on ship hold.
- FED_SEAG0057538: Dated November 23, 2012, showing both Grenada Classic and Grenada BP drives being placed on ship hold for contamination issues.³⁰

occasional-use backup Drives, a 100K hour MTBF is very low. A 250K hour MTBF, the same as Seagate's internal disty Drives, would be more appropriate. In any event, Netel's confidence in Seagate's validation processes was not shared by everyone at Seagate. In response to a ship hold email stating that SBS would absorb disty and OEM ORT failures, John Grieci, electrical failure analysis engineer, cautioned that **"we shouldn't use SBS as a dumping ground."** See FED_SEAG0055100 (emphasis added). Apparently, this practice of dumping bad drives to retail consumers was not new to Seagate. When internally discussing Seagate's "damage control" plan for addressing the Backblaze blogs, one Seagate employee took issue with Backblaze also "tracking and continuing to report on 1.5tb Marina drives" and admitted "this was a drive we did not even release to the channel. Was so bad, it was used in Retail only . . ." FED_SEAG0009871.

²⁷ The Drive was first released in April 2011, and the DSP ship hold was implemented in late-May 2012. Note that the DSP predated the ST3000DM001, as it was first used in other products starting in 2010.

²⁸ See FED_SEAG0067917 (listing 21 stop ship orders as of October 24, 2012 that were either "newly created," "newly closed," "pending closure," or "pending approval").

²⁹ Adams Decl., ¶ 103

³⁰ This ship hold was for OEM Drives, indicating that not only was there a problem, but that Seagate did not put a stop to Drive shipments to the disty or SBS channels.

- FED_SEAG0058176, at 58180: Dated April 16, 2013, showing that thermal voltage margin testing revealed a 5.56% failure rate vs. 3.33% trigger limit for the Grenada BP, and the number of shipped drives was 219,889. This ship hold was mentioned above.
- FED_SEAG0057749: Dated March 4, 2014, showing Grenada BP drives being put on shipping hold. The number of shipped Drives is not indicated, but 200,000 drives were affected.
- FED_SEAG0056387: Dated June 16, 2015, showing Grenada BP2 (among other Drives) being placed on ship hold for contamination issues.

19. Additionally, it should be noted that the ship hold for the crashstop problem, discussed above, where over 152,000 drives were shipped, covered the Grenada BP as well as the Classic.³¹

20. Together with the cited documents in my opening declaration, the above collectively show that shipping holds occurred **every year** between 2011 and 2015, for a total of at least 19 ship holds. The Grenada Classic and Grenada BP were the most heavily affected, but the BP2 was also impacted. Moreover, as discussed in greater detail below, internal Seagate documents discussing the Apple recall show that Seagate shipped 850,000 Grenada BP Drives affected by a serious contamination issue to its non-OEM customers (i.e. these faulty Drives reached consumers through the disty and SBS channels). Accordingly, based solely on the shipped drive figures available, **Seagate shipped at least 1.9 million drives** that were affected by problems such as bad parts and contamination that later led to ship holds or a third-party recall.

Type of Drive	Date of Ship Hold	Number of Drives Shipped
Grenada Classic	January 2012	303,000
Grenada Classic	February 2012	320,025 (potentially millions)
Grenada Classic	July 2012	145,000
Grenada Classic	August 2012	152,000
Grenada BP	April 2013	219,889
Grenada BP	N/A	850,000
	Total:	1,989,914

*Figure 2: Number of shipped drives affected by problems that led to a ship hold.*³²

³¹ FED_SEAG0016862, at 16864.

21. Notably, this estimate of defective drives shipped to consumers is only related to six of the nineteen ship holds that I have had the opportunity to review. There may be more than nineteen ship holds for the ST3000DM001 and, since some ship hold documents do not contain data reporting the number of shipped drives (or the data is incomplete), the actual number of shipped drives is likely substantially higher than the above, perhaps by millions. Accordingly, Adams' argument that the ORT AFR data is irrelevant because no adversely affected Drives were shipped to consumers is not only misleading but downright false.

21. Relatedly, it appears that Seagate's trigger limit for implementing a ship hold based on AFR was 1%.³³ However, as discussed below, Seagate advertised the AFR as 0.34% for a period of 13-15 months. Yet, I have seen no indication that Seagate changed its trigger limit to 0.34%, thus Seagate would not have put a ship hold in place for Drives that exceeded the advertised AFR of 0.34%, which is three times less than 1%.

22. Moreover, the fact that Seagate issued at least 19 ship holds for the Drive, at least 13 of which occurred between June 2011 and August 2012 alone, is astonishing. Adams attempts to portray the ship holds as Seagate merely doing its job in preventing defective Drives from reaching consumers, and he contends that ship holds "are not evidence that flawed or high AFR drives reached consumers; they are the opposite."³⁴ The fact that faulty Drives did reach consumers, along with the fact that over a dozen ship holds were implemented in a one-year

³² As discussed above, there was another Stop Ship Order instructing the factories to "[d]owngrade failed drives to Disty and SBS," but the number of downgraded Drives that were shipped is not apparent from the documentation. It should also be noted that the foregoing figure represents only the number of drives that Seagate identified as being affected by the specific problems that ultimately led to a ship hold. In some instances, it was unclear from the ship-hold documents how many of the shipped drives were for other capacities or how many were shipped internationally as opposed to domestically. Conversely, the figure does not account for affected drives that were sold to consumers through the disty or SBS channel in instances where the ship hold was only for OEM drives and does not account for drives that were released from a ship hold when the AFR was still too high or drives that Seagate did not issue a ship hold for.

³³ See Figure 3, below. The horizontal orange line on the graph is at 1% and is labeled "UCL." UCL stands for upper control limit.

³⁴ Adams Decl., at ¶ 29

period, with additional ship holds thereafter, is remarkable because it indicates serious recurring problems with the Drive.³⁵

2. For a Single Contamination Issue Alone, Seagate Shipped at Least 850K Affected Drives

23. Unsurprisingly, in his report, Adams spends little more than a paragraph addressing the Apple recall. This lapse is undoubtedly because Adams cannot dispute that a massive amount of contaminated Drives were shipped to consumers. As set forth in my opening declaration, in March of 2015, Apple became concerned with the Drives' increasing rate of return and demanded that Seagate perform a failure analysis.³⁶ Seagate itself was seeing a similarly high yearly return rate and was aware that the root cause was contamination that occurred during its manufacturing process.³⁷ In fact, Seagate changed the design of a critical hard drive component, the air bearing surface of the recording head, as a corrective action for the contamination issue, but did not disclose the design change or the contamination problem

38

24. The Apple recall was announced on June 19, 2015, but lacked any reference to Seagate.³⁹ In addition to the 130,000 affected OEM Drives, Seagate projected that there were **"850K [3TB non-OEM] drives still in warranty that could be returned due to contamination issue."**⁴⁰ Notably, Seagate's projection only considered Drives that were still in warranty, meaning that the true number of affected Drives shipped to consumers was likely **far greater than 850k.**

25. In cursory fashion and without any support, Adams attempts to dismiss the magnitude of the problem with the Drives by attempting to argue that: (1) the Drives at issue in

³⁵ As mentioned in footnote 28 and its accompanying text, there may have been additional ship holds. For instance, FED_SEAG0067917 suggests that there were at least 21 ship holds that had been put in place for the Grenada by October 2012.

³⁶ FED_SEAG0057214, at 57215.

³⁷ FED_SEAG0057214, at 57215; FED_SEAG0057123, at 57127.

³⁸ FED_SEAG0057214, at 57215.

³⁹ FED_SEAG0002673, 2675

⁴⁰ FED_SEAG0055784, at 55785.

1 the Apple recall are irrelevant; (2) contamination problems only affected Drives manufactured
 2 prior to May 2013; (3) return rates are not a reliable indication of failures; and (4) no other
 3 OEMs issued recalls or reported problems with the Drives.⁴¹ All four points fail.

4 26. Preliminarily, it should be noted that Adams ignores the fact that the Drives
 5 affected by the contamination issue that led to the Apple recall were Grenada BP, which
 6 contradicts his overarching (erroneous) argument that there is a dearth of evidence pertaining to
 7 problems with that Drive version. Moreover, Adams implies that the contamination problem is
 8 irrelevant when he states that “drives sold to OEMs such as Apple are not at issue in this case.”⁴²
 9 While this is a technically true statement, it is deceptive. The Apple recall itself applied only to
 10 OEM Drives sold to Apple, which Apple put in some of the computers it sold. However, as
 11 discussed above, Seagate sold at least 850,000 non-OEM (i.e. disty/SBS) Drives that were
 12 manufactured at the same time as the OEM Drives and affected by the *same* contamination
 13 problem,⁴³ and Seagate never issued a recall for them.⁴⁴ These are precisely the Drives that are
 14 at issue in this case.

15 27. The Apple recall affected Grenada BP Drives with contamination issues and
 16 manufactured prior to May 2013. However, major contamination issues were not limited to the
 17 Grenada BP or this timeframe, but were rather a constant issue throughout the class period and
 18 across all iterations of the Drive.

19 28. For example, as discussed above, in July 2012, a ship hold was placed on the
 20 Drives, and Seagate employee John Grieci expressed serious concerns about how often the
 21 Grenada Classic exceeded ORT trigger limits and observed that Seagate is “not managing
 22 quality.”⁴⁵ In response to Mr. Grieci’s email, another Seagate employee wrote that the trigger
 23

24 ⁴¹ Adams Decl., at ¶ 106.

25 ⁴² Adams Decl., at ¶ 23

26 ⁴³ FED_SEAG0055784, at 55785.

27 ⁴⁴ The seriousness of the contamination issue leading to the Apple recall is demonstrated not
 only by the fact that at least 850,000 Drives were affected, but by the fact that, as observed by a
 Seagate employee in an internal email, contamination-related failures were “dominat[ing] BP”
 ORT. See FED_SEAG0057538.

28 ⁴⁵ FED_SEAG0060976, at 60978.

1 “seems to be related to particle contamination.”⁴⁶ The employee continued, “**At a higher level,**
2 **Grenada triggers are mainly due to head instability and particle related issues.**”⁴⁷

3 Similarly, Joni Clark, Global NAS Segment Manager at Seagate, later stated in an internal email
4 that the Grenada had “contamination issues that caused them to fail much faster and more.”⁴⁸
5 Thus, Seagate employees explicitly acknowledge that contamination was a major problem for
6 the Grenada.

7 29. Consistent with these acknowledgments, Seagate identified contamination as one
8 of the major root causes of the Grenada Classic’s high ORT AFR (up to 2.21% and trending
9 higher) during the 12-week period ending in early February 2012, which is discussed more fully
10 in Section III-b., below.⁴⁹ Moreover, as of October 2012, at least six ship holds had been put in
11 place due to contamination problems,⁵⁰ and, in a report dated September 3, 2012, Seagate
12 identified “NHK particulate contamination” as one of three “[f]ield and supply disruption
13 issues” plaguing the Grenada.⁵¹ Thus, as Adams appears to acknowledge, it cannot be denied
14 that contamination was a rampant issue for the Grenada Classic and Grenada BP Drives
15 manufactured prior to May 2013.

16 30. But, contrary to Adams’ contention, the contamination problem was not limited
17 to Drives manufactured prior to May 2013. As a result of Seagate’s awareness that its
18 manufacturing process was flawed and that the Drive was released prematurely, in or around
19 March 2013, Seagate implemented an aggressive “contamination improvement plan” that
20 included broad changes to Seagate’s cleanliness and contamination control policies, from
21 handwashing and equipment cleaning procedures to modifications of factory equipment.⁵² These
22
23

24 ⁴⁶ *Id.* at 60976.

25 ⁴⁷ *Id.* “Particle related issues” is another way of saying “contamination.”

26 ⁴⁸ FED_SEAG006071, at 6072.

27 ⁴⁹ FED_SEAG0009670, at 9678.

28 ⁵⁰ *See* FED_SEAG0067917.

⁵¹ FED_SEAG0055831, at 55841.

⁵² *See* FED_SEAG0026577, at 26618-26646.

1 changes were significant, and they indicate that Seagate considered the severity and scope of its
2 contamination problems to be substantial.

3 31. Despite the changes, contamination-related Drive failures continued to be a
4 significant issue. For example, when Seagate conducted pre-release AFR testing for the Grenada
5 BP2 in or around January 2014, the top issue it identified was related to contamination.⁵³ The
6 corrective actions Seagate implemented to lower contamination to an acceptable level post-
7 release were obviously not effective, as evidenced by the fact that Grenada BP2 contamination-
8 related failures were used as examples in an internal Seagate document explaining why further
9 improvements needed to be made to Seagate's contamination protocols.⁵⁴ This document, which
10 was dated May 20, 2014 and which focused on drive head contamination, reported that 52
11 Grenada BP2 Drives in Seagate's failure analysis tracking system had head and head gimbal
12 assembly issues.⁵⁵ Out of the nine Drives that underwent further analysis, six showed "evidence
13 of actual or potential head or slider contamination and/or damage."⁵⁶ Moreover, to the extent
14 that Seagate implemented any further changes to its contamination protocols, it is apparent that
15 they were not effective, as a ship hold was placed on the Grenada BP2, among other Drives, for
16 contamination issues on or around June 16, 2015.⁵⁷ In light of the foregoing, Adams' contention
17 that contamination issues were limited to Drives manufactured before May 2013 is incorrect.

18 32. Likewise, Adams' argument that "return rates are not a reliable indication of
19 failures" is erroneous and directly contradicted by Seagate's internal treatment of return rate
20 data. The "Seagate Acronym Dictionary", which is characterized by Seagate as "The definitive
21 source for acronyms and terms at Seagate", defines "ARR", "Average Rate of Return", and
22 "Annualized Return Rate" as "a **measure of product reliability** and is usually based on end
23 user percentage of drives returned to the Company; **reflects product quality and reliability.**"⁵⁸

24 ⁵³ FED_SEAG0057277, 57324.

25 ⁵⁴ FED_SEAG0056914.

26 ⁵⁵ FED_SEAG0056914, at 56918.

27 ⁵⁶ *Id.*

28 ⁵⁷ FED_SEAG0056387.

⁵⁸ FED_SEAG0055171 at 55173.

33. Customers will return drives to the manufacturer for a variety of reasons. In my experience, the most common reasons for customers to return their drives are: (a) the drive has failed; (b) the drive does not function properly due to mechanical, electrical, interface or software related issues; or (c) the customer does not understand how to use the drive. A certain percentage of drives that are returned will be designated No Trouble Found (“NTF”) because, after examining the drive, a manufacturer, such as Seagate, could not find an issue with it. Thus, in general, the Annual Return Rate (“ARR”) observed by a manufacturer will often be higher than the Annual Failure Rate (“AFR”). However, there are three important caveats:

- a. A drive that is marked as “NTF” may have in fact failed for the customer. This can happen with transient or intermittent failures. This class of failures is real and extremely difficult to diagnose. A good example is the firmware bug associated with a floating diagnostic port, as discussed in the Hospodor Declaration, that could cause a drive to report “Not Ready” on an intermittent basis.⁵⁹ Although these failures are real, Seagate does not consider them in its analysis. Indeed, an internal Seagate document indicates that Seagate realized that its NTF classifications were not necessarily accurate.⁶⁰
- b. Drives that are out of warranty will not normally be returned by the consumer (at their expense) nor accepted by the manufacturer. Thus, the ARR does not account for the failures beyond the warranty period. At times, Seagate’s warranty on the Drives were as short as one or two years,⁶¹ even though Seagate designed the Drives with an expected service life of five years.⁶²
- c. Not all drives that fail within the warranty period will be returned. A consumer may opt not to return the failed drive because of the hassle or expense involved, or because the delay in getting a replacement drive is too long. Customers with highly confidential information on the drive would also be unlikely to return their drives to Seagate. Common sense indicates that a considerable number of failed drives will not be returned.

34. Finally, Adams’ contention that no other OEMs “reported problems with the Drives” is belied by the evidence. As set forth in the Hospodor Declaration, [REDACTED]

[REDACTED]”

⁵⁹ Hospodor Decl., at ¶¶ 164, 185.

⁶⁰ See FED_SEAG0015884 (“need to formalize a process and cadence around sending products here to Cupertino for FA. Example would be Go Flex home where NTF classification may not be totally accurate.”)

⁶¹ See FED_SEAG0016461

⁶² See FED_SEAG0056259, at 56262.

B. Post-Release Testing Reveals that the AFR was Consistently Higher than the Advertised AFR

35. In his attempt to obfuscate, Adams ignores that post-release testing of the Drives reveal that Seagate was aware that the Drives were unreliable and had an AFR that was higher than industry standard. Adams criticizes the Hospodor declaration for “citing only two documents containing AFRs over 1% for internal (Disty) drives” that “both relate to Grenada *Classic* drives *in 2012* that were not being shipped to consumers at the time” and that there is “no evidence that Grenada BP or Grenada BP2 drives had AFRs over 1%.”⁶⁵ Apparently, Adams did not realize that the Hospodor Declaration was not meant to provide an exhaustive list of the many examples of ORT AFR values above the 1% threshold. He also apparently did not see fit to

⁶³ FED_SEAG0024743, at 24763.

⁶⁴ FED_SEAG0054737. Internally, Seagate employees acknowledged “**we need to stay away from any defense on the older drives since we have no great defense in that area.**” FED_SEAG0010073, at 10074 (emphasis added). In a document titled “Seagate Reliability Campaign” which appears to be an outline for Seagate’s ghostwritten rebuttal articles to the Backblaze blogs, Seagate posits that one of the reasons that the Drives were so unreliable was that they “arrived post-flood amid extreme market shortage”. FED_SEAG0025642, at 25646.

⁶⁵ Adams Decl., ¶ 63 [Emphasis in original].

1 research whether ORT AFR was above 1% for other periods, but rather simply assumed that it was
2 not. Accordingly, I provide a more detailed picture below.

3 36. Seagate's ORT results show that for at least 39 weeks out of a 74-week period,
4 the projected AFR was >1% (and by extension dramatically higher than the AFR of 0.34% that
5 Seagate advertised for over a year). Furthermore, the ORT data show that Seagate's attempts to
6 fix the underlying problems were largely unsuccessful and, as discussed above, that large
7 numbers of affected drives were shipped to end users.

8 37. For instance, as discussed in the Hospodor Declaration, a post-release ORT
9 document dated February 7, 2012 reveals that the AFR for the ST3000DM001 was above 1%
10 for **12 weeks straight** and was getting worse.⁶⁶ Specifically, it climbed to 2.21% in the 12th
11 week. It is important to note that these results are for the internal Drive, but they are also
12 germane to the external Drives because the ST3000DM001 that is sold as an internal Drive is
13 used in the external Drives; Seagate did not maintain separate production lines or processes for
14 SBS and Disty products, or even OEM products.⁶⁷ The graph cited in the Hospodor Declaration
15 is reproduced below.

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27 ⁶⁶ FED_SEAG0009670, at 9681.

28 ⁶⁷ See Dewey Decl., at ¶ 8 ("Seagate did not build different ST3000DM001 drives for SBS,
disty and OEM channels.")

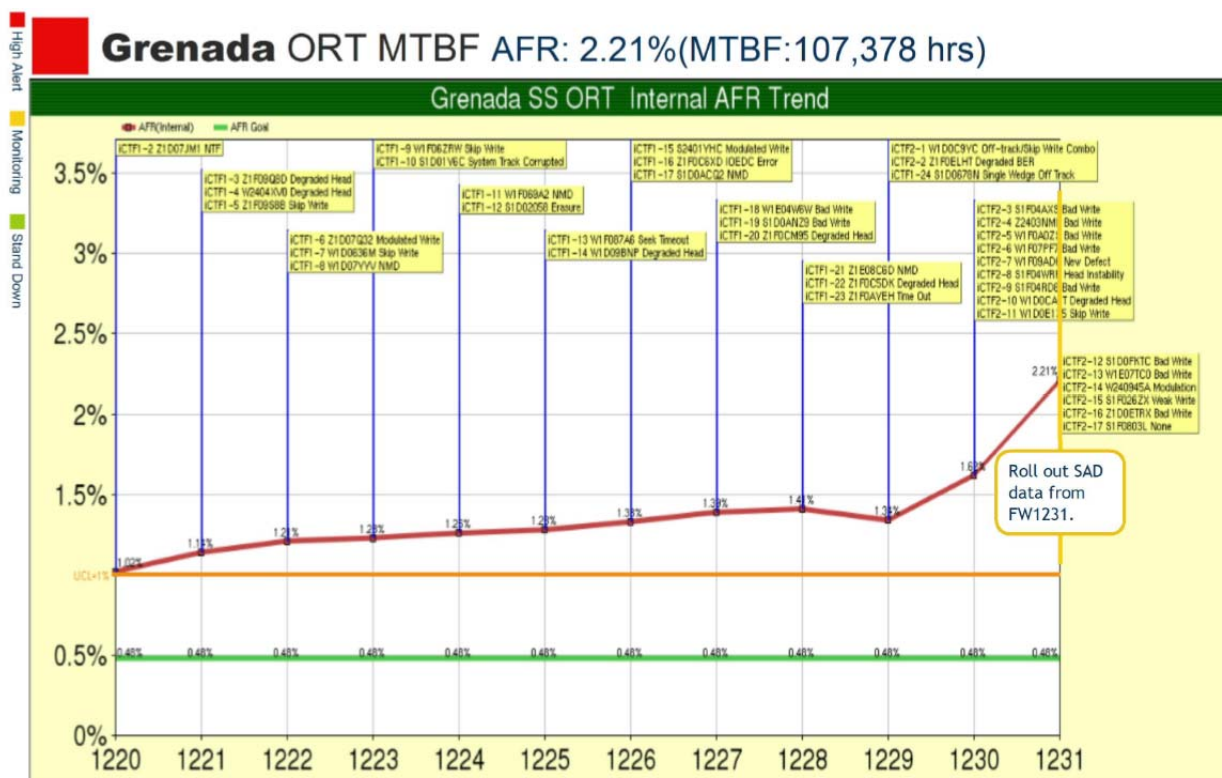


Figure 3: Grenada 12-week ORT Chart. FED_SEAG0009670, at 9681.

38. Adams attempts to minimize this data by characterizing it as only for a “few weeks.” I am not sure why Adams considers three months to be only a few weeks. Nonetheless, it is worth stressing that Netel declared that an AFR above 1% would trigger a ship hold until corrective action was identified and implemented.⁶⁸ If he is correct, then during the first work week on the above graph, where the AFR was 1.02%, a ship hold would have occurred, corrective action taken, and production resumed. Given that ORT is a rolling 6-week test,⁶⁹ I would have expected the AFR rate to have continued to rise for a week or two as the bad Drives propagated through the test procedure, and then for the AFR to rapidly decrease as the Drives with the implemented fixes started flowing through ORT. Instead we see the AFR continuing to rise, showing that the supposed fixes were failing to solve the problems, or that additional problems were occurring.⁷⁰

⁶⁸ Netel Decl., at ¶ 19.

⁶⁹ Netel Decl., at ¶ 11.

⁷⁰ Adams also claims that the data on this graph represents the “raw” AFR. Adams Decl., at ¶ 66. There is nothing in the graph that indicates whether the plotted data are “raw” AFR or “reduced” AFR, so the basis for Adams’ assertion is unclear. But even if it is the raw AFR, the

39. Seagate's AFR goal is represented by the green line and was 0.5%. The trigger limit (labeled UCL for "upper control limit") is represented by the orange line and was 1%. By financial week ("FW") 1231 (week 31 of 2012), the AFR climbed to 2.21%, which was substantially higher than the advertised AFR, 4.4 times higher than Seagate's goal, and 2.21 times higher than the trigger limit, and it was on a trajectory to go higher. Indeed, the AFR did increase further. An internal Seagate quality report dated March 6, 2012, which was four weeks beyond the ORT chart shown in Figure 3, stated that the 12-week rolling AFR average was 2.25%.⁷¹

40. As discussed in the Hospodor Declaration, a June 2012 Grenada Classic ORT document also revealed an AFR substantially greater than the advertised rate. Unlike other ORT documents, there was no 12-week graph associated with this ORT, but rather a table stating the AFR and the reduced AFR projection. The relevant portions are shown below:

Grenada ORT FE Table

6/4/20

Grenada Classic ORT					Updated: 6-4-12 12:00 AM				
AFR (1st year Weibull)	3.436%	From all fails Weibull MLE			No. Info	QTY TESTED			
MTBF (1st year Weibull)	68645.4				2400	POH/Year			
Minimum AFR:	0.021%	From zero fail Weibull @ 50% CL			0.506781	Weibull Beta			
Total Number of Failures	81				535	Average Test Hours			
AFR for 1 failure	0.042%	AFR decrease per failure @ 100% fix effectiveness							

Issue	Corrective Action	Fix Validation	# of Failures	% Fail	Eff. Factors		Reduced AFR		PFL/TF
					Demo'd	Potential	Demo'd	Potential	
SPPL-167 NMD - Post SAD - NHK Suspension		Validation based on reducing the NHK loading to 20% through July	10	0.422%	40%	70%	3.267%	3.14%	PFL 4268530 PFL 4354724 PFL 427162 PFL 4289196 PFL 4271510 PFL 4305177 PFL 4146642 PFL 4175445 PFL 3896143 PFL 416310
SPPL-121 CHD retest pass			6	0.252%	100%	100%	3.182%	3.182%	PFL 418123 PFL 3859143 PFL 4147234 PFL 3823128 PFL 418123 PFL 3859142

SPPL-172: Aborted Write due to Power Reset - Test Equipment Related			1	0.042%	100%	100%	3.394%	3.394%	PFL 4329376
SPPL-173: unqualified material escaped to mass production			1	0.042%	0%	100%	3.436%	3.394%	PFL 4329322
Total Number of Fails			81	Reduced AFR:		2.35%	1.79%		
				Corresponding MTBF:		100K	132K		

Figure 4: Grenada Classic ORT, FED_SEAG0026751, at 26785

41. As indicated by the table, ORT revealed a raw AFR of 3.436%, which is over ten times greater than the 0.34% AFR Seagate was advertising at the time. Adams contends that raw AFR does not represent the AFR of Drives being shipped to consumers because the Drives were on ship hold and raw AFR does not take into account fixes Seagate devised for the Drives. As

data shows that the corrective action taken by Seagate was not effective, as the AFR continued to rise.

⁷¹ FED_SEAG0063104, at 63107.

discussed above, however, Adams' argument is premised on the false assumption that Seagate's ship holds prevented any affected Drives from reaching consumers. And, in any event, the reduced AFR, which was the post-fix AFR projection, was 2.35%, which is nearly seven times higher than the advertised AFR.

42. This was not an isolated incident. A Seagate document dated November 29, 2012 contains a graph showing the 12-week rolling AFR for the Grenada, as reproduced below.

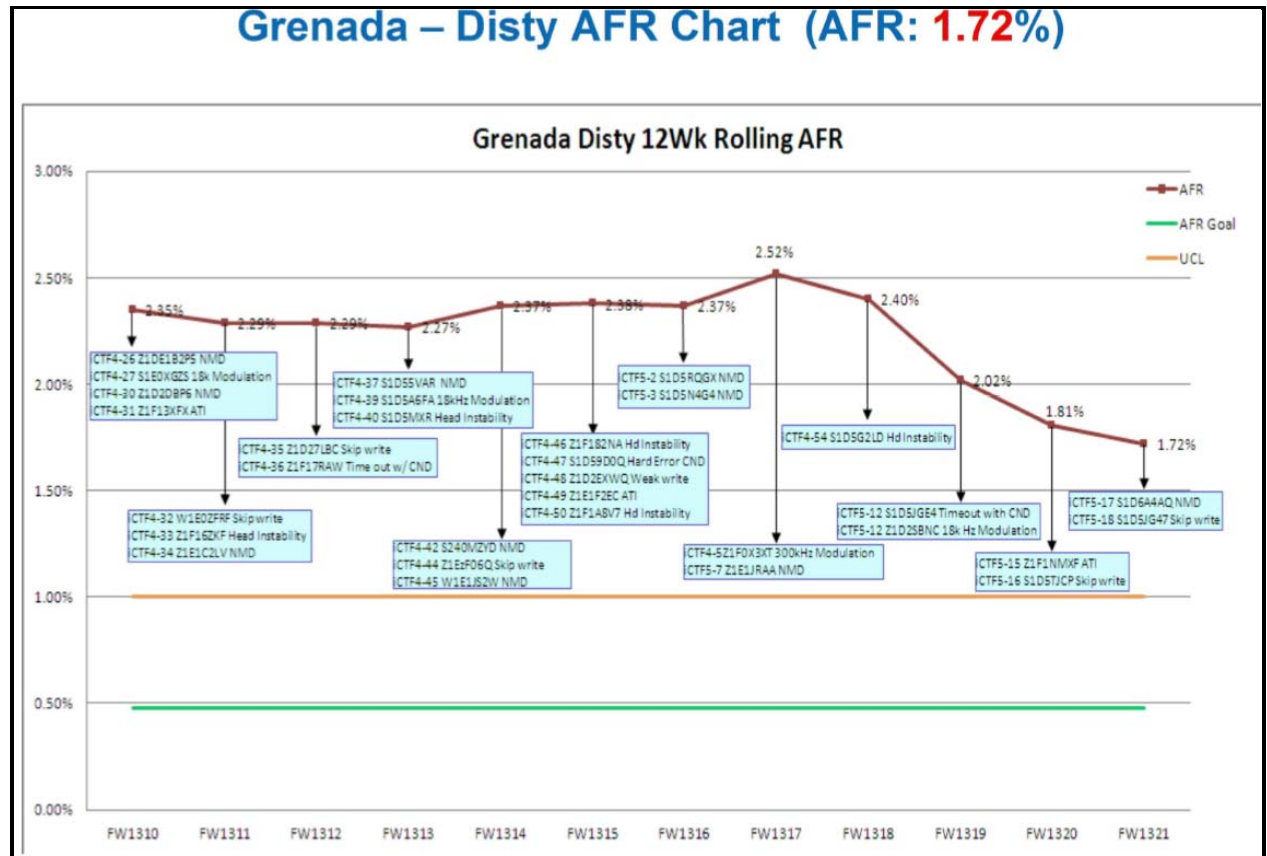


Figure 5: Grenada Disty 12-week ORT AFR ending FW 1321. FED_SEAG0059618, at 59620

43. The AFR was above 2% for almost the entire period, peaking at 2.52% in FW1317. The AFR then decreased to 1.72% by FW1321, showing that, in this case, at least one of the fixes was effective in reducing the AFR. However, the projected AFR is not even close to the advertised AFR of 0.34%. In fact, the AFR remained unacceptably high into 2013; an ORT document dated May 3, 2013 reveals that starting in February 2013, about two months after the above 12-week period ended, the AFR consistently exceeded the advertised AFR, peaking at 2.66%. The graph is reproduced below.

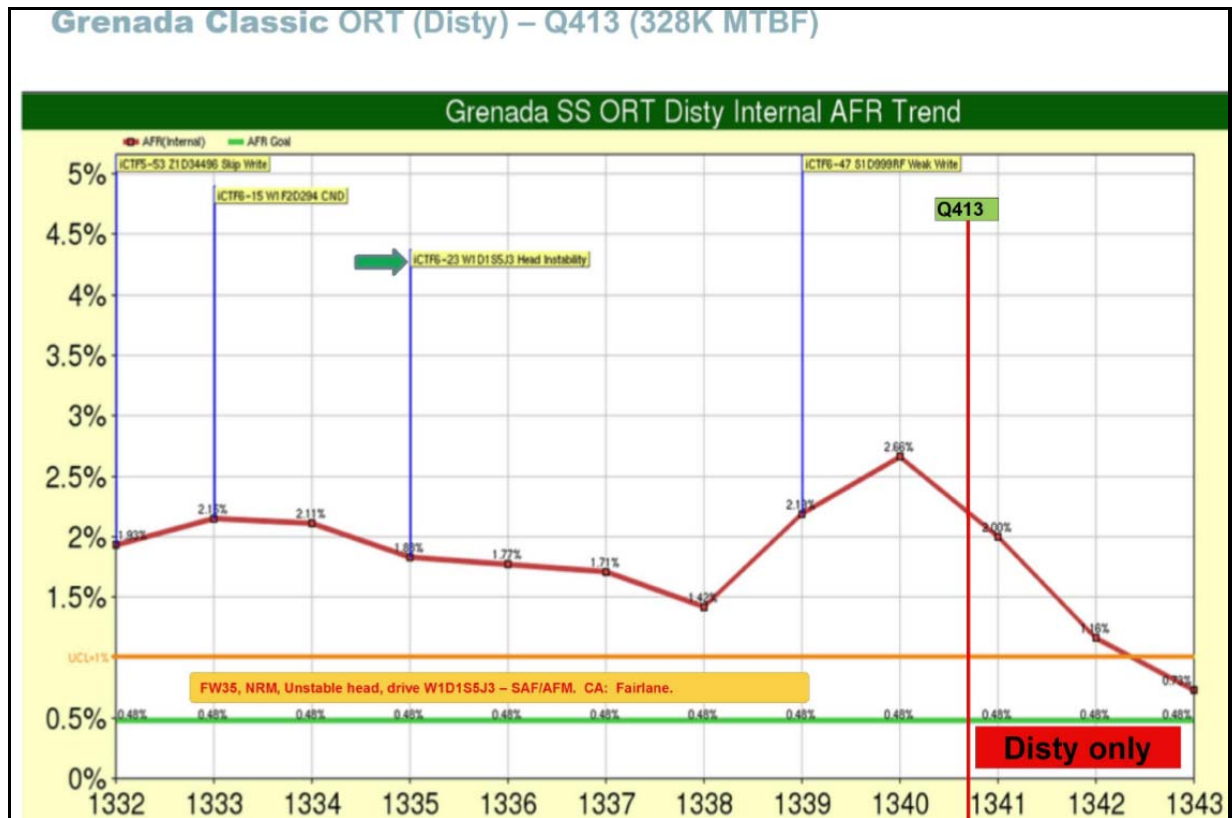


Figure 6: Grenada Disty 12-week ORT AFR ending FW1343. FED_SEAG0056563, at 56595

44. As can be seen in the graph, the AFR was well above 1.5% for almost the entire period, and above 2% for 5 of the 12 weeks. The AFR then decreased to 0.73% by FW1343, showing that in this case at least one of the fixes was effective in reducing the AFR. As suggested by all of the above graphs and data, however, the fact that the AFR for the Grenada Classic dipped below 1% for one week is no guarantee that it remained there. The high rate of failures was not confined to the AFR of Grenada Classic. The Grenada BP disty ORT chart below is for the same time period as the Grenada Classic chart above.

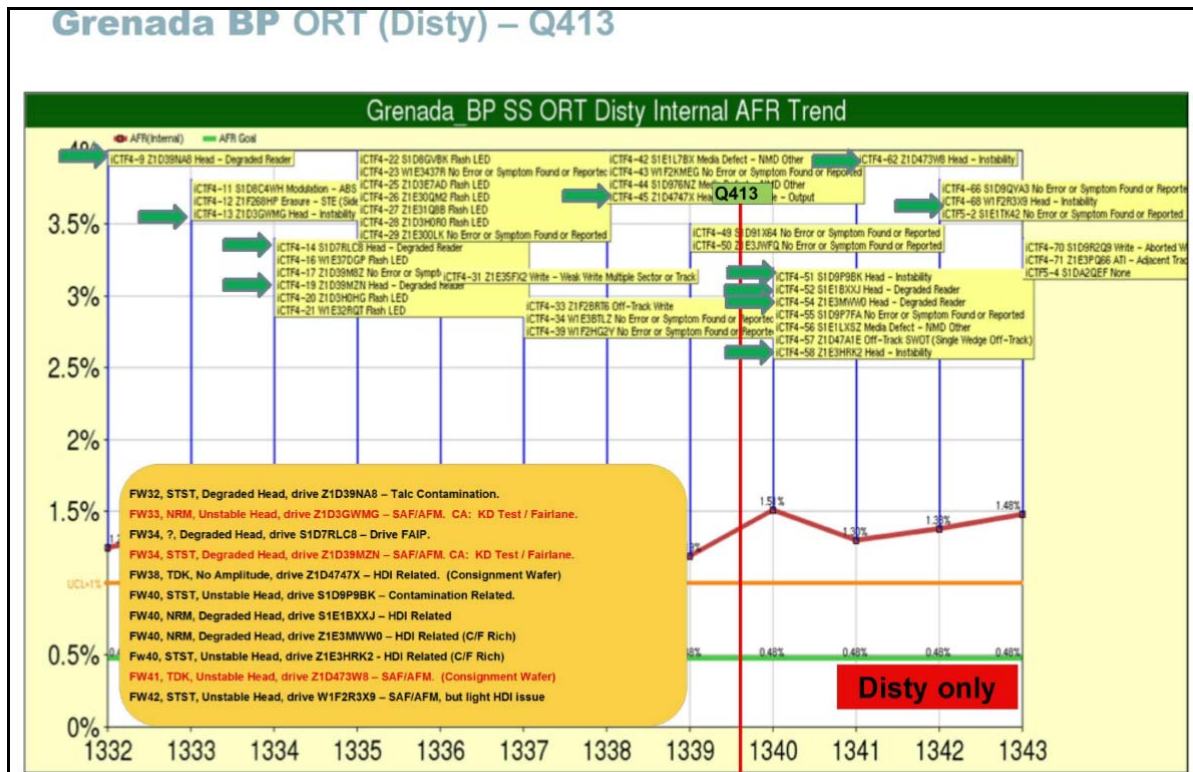


Figure 7: GrenadaBP 12-week ORT AFR ending FW1343. FED_SEAG0056563, at 56602.

45. For the first week, FW1332, it appears the AFR is about 1.25%, and the final 5 weeks are all well above 1% and trending higher. The remaining weeks, however, are obscured by the callout. However, it can be deduced from other charts from the same time period that the AFR was above 1% for the entire 12-weeks.

46. Below is the ORT graph for the Grenada BP disty and OEM Drives combined. All of the data points are above 1%. It is followed by a chart for the OEM Drives only. In all but one of the 12 weeks, the AFR for the OEM Drives is equal to or lower than that of the OEM and disty Drives combined, and in most weeks it is lower. Thus, it stands to reason that the disty Drives generally had a higher AFR than OEM for this period, and since all of the data points for the combined graph are above 1%, it is highly likely that the obscured data points in the disty-only graph are also above 1%.

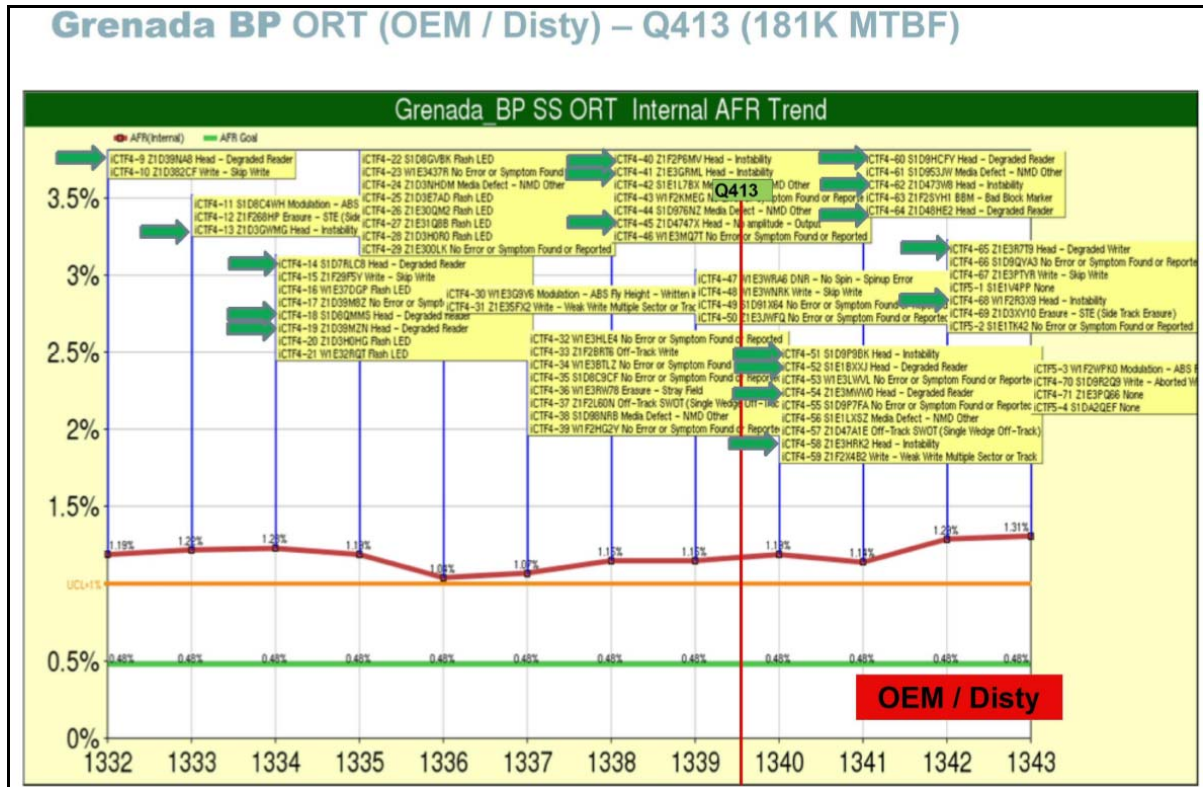


Figure 8: Grenada BP OEM/Disty ORT AFR. FED_SEAG0056563, at 56600

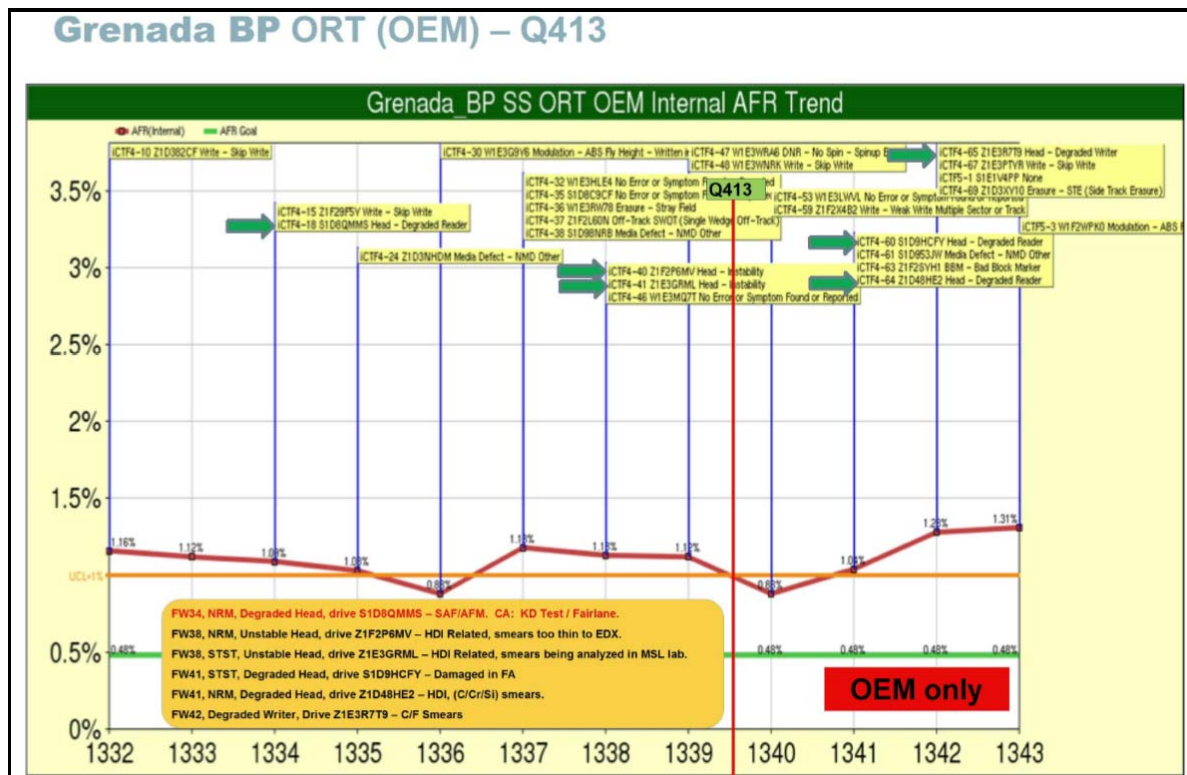


Figure 9: Grenada BP OEM-only 12-week ORT AFR. FED_SEAG0056563, at 56601

1 47. In sum, contrary to Adams' arguments, the above data demonstrates that the
2 ST3000DM001 suffered from ongoing issues that pushed the AFR past the advertised rate, often
3 substantially so.

4 48. Adams also claims that the June 2012 ORT results, reproduced at Figure 4, are
5 unreliable because of the combined low average number of test hours. Specifically, he
6 speculates that "the low average number of test hours could contribute to 'noisy' or even
7 elevated results."⁷² Given that Adams spent so much energy trumpeting his statistical acumen,
8 surely Mr. Adams must have recognized that:

- 9 a. Seagate designed the test. If the test was unreliable then they could have and
10 should have changed the test. If the test was not sufficient, the drives could
have been tested longer, but Seagate chose not to do that.
- 11 b. If the sample size is small, such that the data are "noisy," then the test results
12 are just as likely to give suppressed results as they are to give elevated results.
13 To only suggest an elevated result reflects poorly on Adams.
- 14 c. These test results were clearly consistent with previous test results that also
show higher AFR.

15 49. Adams next speculates that infant mortality could skew the results into showing a
16 higher AFR than would be shown using the full six weeks-worth of data.⁷³ I am not privy to the
17 underlying statistical model Seagate used for ORT. However, I would be astonished if the model
18 did not account for not only that a failure has occurred, but also when it occurred. In other
19 words, the model should accommodate infant mortality. The fact that Adams speculates that this
20 might be occurring rather than investigating the model and confirming it one way or the other is
21 telling.

22 50. As discussed above, Adams also claims that the ORT results discussed in the
23 Hospodor Declaration are irrelevant because Seagate put ship holds in place whenever ORT
24 revealed that the Drives breached a "trigger limit." This ignores the fact that Seagate advertised
25 the AFR as 0.34% for a substantial portion of the Class period, yet the AFR trigger limit was
26

27 ⁷² Adams Decl., at fn. 20.

28 ⁷³ *Id.*

1 1%. Moreover, as discussed at length herein, Adams' contention that ship holds prevented
2 affected Drives from reaching consumers is wrong.

3 **C. The True AFR was Higher than Projected by Seagate and the AFR was Increasing**

4 51. It is important to keep in mind that the AFR figures discussed above are
5 **projected** AFRs. That is, they are the result of a statistical model, which may or may not
6 correlate well with reality. Seagate is obviously aware of this, and in the same document that
7 Figure 3 appears, Seagate included a graph comparing the projected AFR to the actual field AFR
8 for a different product ("Pharaoh") manufactured at the same time as Grenada. The chart is
9 reproduced below.

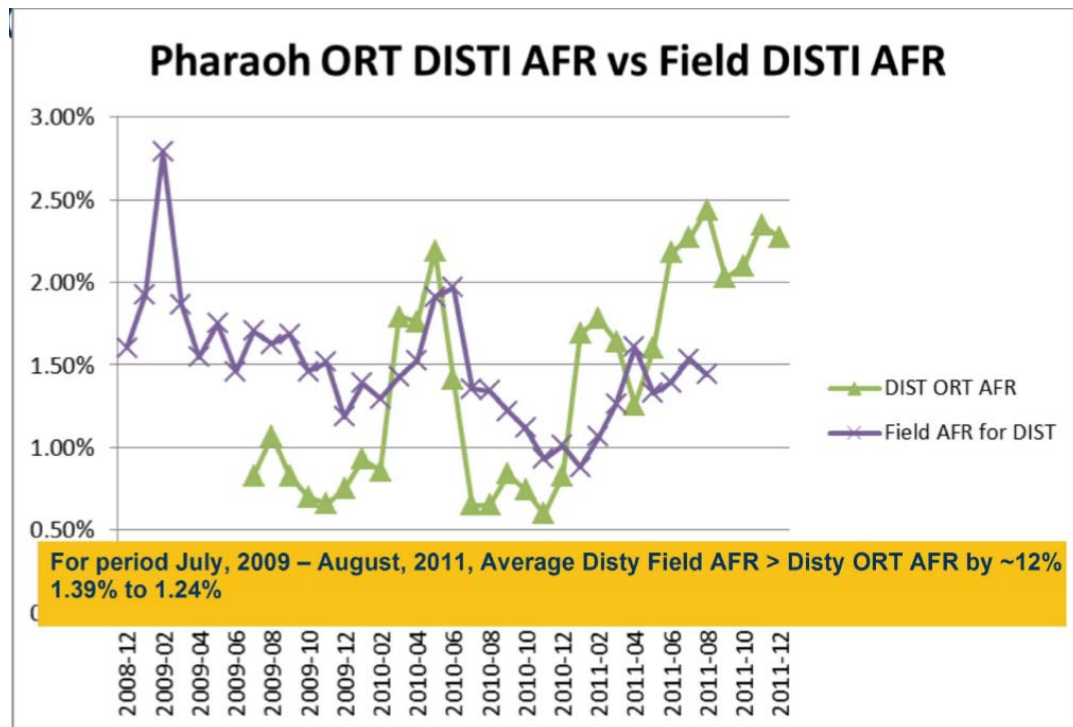


Figure 10: FED_SEAG0009670, at 9701

52. The green line is the projected Disty AFR from Ongoing Reliability Testing, and
the purple line the actual AFR from the field. Note that the field AFR lags the projected AFR by
a number of months, presumably reflecting the lag from production to end user usage. The
callout states "Average Disty Field AFR > Disty ORT AFR by ~12% 1.39% to 1.24%". In other
words, the field failure rate was on average 12% greater than the ORT model projection. It is not
unreasonable to expect that the AFR projections for Grenada were similarly understating the
actual failure rates experienced by consumers. The fact that the author of a 33-page document

1 titled Grenada ORT MTBF Trigger chose to include this page (which is the only non-Grenada
 2 specific page in the document) suggests that the author believes it is pertinent to assessing the
 3 projected AFR of Grenada.

4 **D. The Backblaze Reports Evidence An Increasing, Abnormal Annual Failure Rate**

5 53. In addition to the fact that the field AFR is higher than Seagate's projected AFR,
 6 the AFR of the Drives increased over time (i.e. as if they had a Weibull beta of >1), as the
 7 Backblaze reports make apparent. Adams criticizes the Backblaze reports by noting that
 8 Backblaze misused the Drives.⁷⁴ One criticism of the Backblaze data is that the Drives were not
 9 designed for use in a data center and that the storage pods that Backblaze mounted the Drives in
 10 were not a controlled environment and susceptible to vibration. Accordingly, I am not offering
 11 the specific failure rates experienced by Backblaze as evidence of the precise AFR of the Drives
 12 experienced by regular consumers. However, the Backblaze data does demonstrate that the
 13 ST3000DM001 was significantly less reliable than its competitors and exhibited a dramatically
 14 increasing failure rate. It should be noted that *hard drive manufacturers, including Seagate,*
 15 *subject drives to extreme stress and workloads when conducting accelerated life testing to*
 16 *ascertain the projected AFR of a drive.* Thus, the fact that Backblaze may have pushed the
 17 Drives beyond their limits does not invalidate my conclusions.

18 54. The two critical points that Adams misses in his reply declaration are that the
 19 failure rate of the ST3000DM001 at Backblaze increased dramatically over a three year period,
 20 and virtually all of the 3TB hard drives used by Backblaze, including those from other
 21 manufacturers, were used in the same type of storage pod, yet the ST3000DM001 performed
 22 markedly worse.⁷⁵ In 2013, the failure rate of the ST3000DM001 was 10.35%, and it
 23 skyrocketed to 43.08% in 2014. For the first through third quarters of 2015, the failure rate was
 24 30.94%. At the time the Backblaze report was published, data was not yet available for the
 25 fourth quarter of 2015.

26
 27 ⁷⁴ Adams Decl., at ¶ 80.

28 ⁷⁵ See Backblaze, *What Can 49,056 Hard Drives Tell Us? Hard Drive Reliability Stats for Q3 2015*, <https://www.backblaze.com/blog/hard-drive-reliability-q3-2015/> (Oct. 14, 2015).

55. Such a substantial jump in failure rate, from 10.35% to 43.08%, over a one-year period is remarkable. It demonstrates that not only did the failure rate of the Drive increase over time, but it increased quickly and dramatically. This stands in stark contrast to Adams' claim that the Drive's AFR was highest in the first year and then declined.⁷⁶

56. By comparison, the other 3TB hard drives used by Backblaze, *which were all consumer desktop drives and were used in the same type of storage pods as the ST3000DM001*, had substantially lower failure rates and did not experience dramatic degradations of reliability like the ST3000DM001 did, as shown in the figure below.⁷⁷

Backblaze Hard Drive Failure Rates
Ordered by Drive Size (2013 through Q3 2015)

Model Name/Number	Size	2013 Failure Rate	2014 Failure Rate	2015 Failure Rate	All Periods: 2013 - 2015				
					Failure Rate	Low Rate	High Rate	Max # in Service	Avg Age (Months)
HGST(*) Deskstar 5K3000 (HDS5C3030ALA630)	3TB	0.99%	0.59%	1.31%	0.92%	0.70%	1.10%	4,595	40.5
HGST(*) Deskstar 7K3000 (HDS723030ALA640)	3TB	1.01%	2.27%	2.12%	1.91%	1.40%	2.60%	1,027	45.7
Seagate Barracuda 7200.14 (ST3000DM001)	3TB	10.35%	43.08%	30.94%	28.46%	26.90%	29.60%	4,247	34.5
Seagate Barracuda XT (ST33000651AS)	3TB	6.91%	4.80%	3.55%	5.11%	3.50%	7.30%	293	42.8
Toshiba DT01ACA Series (TOSHIBA DT01ACA300)	3TB	6.93%	3.68%	2.80%	4.20%	1.40%	9.80%	58	29.1
Western Digital Red 3 TB (WDC WD30EFRX)	3TB	3.79%	6.94%	8.79%	7.65%	6.40%	9.30%	1,085	16.3
Western Digital Green 3 TB (WDC WD30EZRX)	3TB	6.32%	0.00%		6.32%	4.10%	9.80%	388	0.0
All 3TB Drives		5.22%	15.06%	4.33%	9.43%				

*Figure 11: Backblaze 3TB failure rate chart (entries for 1-2TB hard drives omitted)*⁷⁸

57. For example, the HGST Deskstar 5K3000 had a 0.99% failure rate in 2013, which decreased to 0.59% in 2014, and then reached 1.31% in 2015. Its overall failure rate for

⁷⁶ See Adams Decl., at ¶ 41(d).

⁷⁷ The following data is from the Backblaze report cited in footnote 75, above. See also FED_SEAG0025567, at 25571 (internal Seagate document analyzing the Backblaze failures noting that ST3000DM001 drives have an expected workload for "Desktop, External Storage, Desktop Raid" applications and that Backblaze experienced a 43.10% AFR for 1,163 Drives in 2014).

⁷⁸ *Id.*

1 this period was 0.92%, which is approximately 31 times lower than the ST3000DM001's overall
 2 failure rate of 28.46%. Similarly, the failure rate for another HGST model, the Deskstar
 3 7K3000, was 1.01%, 2.27%, and 2.12% over the same period. Its overall failure rate was 1.91%,
 4 which was about 15 times lower than the ST3000DM001's rate. By way of further example, the
 5 failure rate of the Western Digital Red was 3.79%, 6.94%, and 8.79%, with an overall failure
 6 rate of 7.65%, which was nearly 4 times lower than that of the ST3000DM001.

7 58. Adams claims that the Backblaze data should be disregarded because "Backblaze
 8 only used one other brand of 3TB drives in any significant numbers (HGST), while excluding 3
 9 brands (Samsung, Toshiba, and Western Digital)."⁷⁹ This statement is misleading. First, it
 10 should be noted that Backblaze used two different types of Drives from HGST, both of which
 11 were used in significant quantities.⁸⁰ Second, while Backblaze may have excluded the results of
 12 the Western Digital Green, it did not exclude the results of the Western Digital Red, which it
 13 used in significant numbers, as can be seen in the above chart.⁸¹

14 59. Moreover, it is telling that failure rate gap between the **4TB** version of the
 15 Barracuda/Desktop HDD and the other 4TB Drives used at Backblaze is substantially smaller
 16 than the gap between the ST3000DM001 and the other 3TB Drives.

24 ⁷⁹ Adams Decl., at ¶ 79

25 ⁸⁰ As shown by the above figure, the maximum number of Deskstar 7K3000 and 5K3000
 26 drives in service at Backblaze was 1,027 and 4,595, respectively. Both are sufficient quantities
 27 to draw a meaningful comparison between the reliability of these hard drives and the
 ST3000DM001.

28 ⁸¹ The maximum number of Western Digital Red drives in service at Backblaze was 1,085,
 per the figure above.

Backblaze Hard Drive Failure Rates

Ordered by Drive Size (2013 through Q3 2015)

Model Name/Number	Size	2013 Failure Rate	2014 Failure Rate	2015 Failure Rate	All Periods: 2013 - 2015				
					Failure Rate	Low Rate	High Rate	Max # in Service	Avg Age (Months)
HGST(*) Deskstar 5K4000 (HDS5C4040ALE630)	4TB	1.65%	0.91%	0.86%	1.07%	0.80%	1.40%	2,643	29.9
HGST Megascale 4000 (HMS5C4040ALE640)	4TB	3.85%	1.41%	0.70%	0.93%	0.70%	1.20%	7,092	14.0
HGST Megascale 4000.B (HMS5C4040BLE640)	4TB		0.52%	0.47%	0.50%	0.30%	0.80%	3,103	16.9
Seagate Desktop HDD.15 (ST4000DM000)	4TB	4.17%	2.58%	3.31%	3.06%	2.80%	3.30%	20,921	13.1
Seagate Barracuda XT (ST4000DX000)	4TB	1.12%	1.12%	3.73%	1.99%	0.70%	3.60%	214	23.8
Toshiba MD04ABA-V Series (MD04ABA400V)	4TB			4.80%	4.80%	1.00%	14.20%	145	5.2
Western Digital Red 4 TB (WD40EFRX)	4TB		0.00%	2.97%	1.42%	0.00%	7.90%	45	18.5
All 4TB Drives		2.75%	1.88%	2.18%	2.10%				

Figure 12: Backblaze failure rate chart for 4TB hard drives.⁸²

60. The Seagate Desktop HDD.15 (ST4000DM000) 4TB drive was the successor to the ST3000DM001 and was in the same drive family. The overall failure rate for the ST4000DM000 was 3.06%, compared to 1.07%, 0.93%, and 0.5% for three different HGST models.⁸³ Thus, the failure rate for the HGST drives was 3-6 times lower than the ST4000DM000. When contrasted with the 4-31 times difference between the ST3000DM001 and the other 3TB models discussed above, it is apparent that the ST3000DM001 was an abnormally unreliable Drive that was far less robust than its competition.

E. Adams Ignores Key Documents Showing That Seagate Falsely Marketed The Drives Throughout The Class Period

1. Seagate Advertised the AFR as 0.34% and below 1% during the Class Period

61. The Adams Declaration mischaracterizes the Hospodor Declaration and misrepresents the extent to which Seagate marketed the Drives as being highly reliable with a low failure rate. To support his contention that Seagate did not falsely advertise the AFR of the

⁸² *Id.*

⁸³ The other 4TB drives on the chart were not used in sufficient quantities to draw a reliable comparison to the ST4000DM000.

1 Drives, Adams argues, “The evidence Hospodor cites indicates that, at most, Seagate published
2 a 0.34% AFR for the internal, desktop products for approximately 4 months.”⁸⁴ This is a
3 mischaracterization of the evidence in the Hospodor Declaration. As outlined in that declaration,
4 Seagate advertised the AFR on its website as “0.34%, <1%” or “0.34%” for a 13-15 month
5 period.⁸⁵ Moreover, the AFR was advertised as 0.34% in the April 2011 Product Manual.⁸⁶

6 62. To downplay Seagate’s omissions and the misrepresentations published on
7 Seagate’s website, Adams and Fochtman claim that Seagate’s advertisement of the Drive as
8 “0.34%, <1%” on the webpage “clearly combined information for many different drives.”⁸⁷ I
9 have reviewed numerous archived versions of the webpage from different time periods, and
10 none of them contain any statement that the above AFR figure references different drives, and
11 the only consumer desktop hard drive listed on Seagate’s website at this time was the Barracuda,
12 although it was offered in different capacities. Since “0.34%” is not inconsistent with “<1%” in
13 the sense that 0.34% is, in fact, less than 1%, a consumer would reasonably expect the 0.34%
14 AFR listed to be that of all the Drive capacities, including the ST3000DM001.

15 63. On a *separate* “specifications” webpage, the AFRs for the different capacities of
16 the Barracuda are listed. Here, some drives are listed as having an AFR of <1%, and some are
17 quoted as 0.34%. However, beginning in November 2013 at the latest, the AFR for the 3TB
18 capacity was blank, as shown below:

19
20
21
22
23
24 ⁸⁴ Adams Decl., at ¶ 16(b).

25 ⁸⁵ See Hospodor Decl. at ¶¶ 53-54.

26 ⁸⁶ Adams and Schweiss claim that this Product Manual was a draft that was never released
27 to consumers, conveniently ignoring the fact that Seagate disseminated the Product Manual with
28 the .34% AFR specification to its consumers, as evidenced by the fact that the version produced
by Seagate during discovery was an attachment to an email that Seagate sent to a consumer.
FED_SEAG0019041.

⁸⁷ Adams Decl., at ¶ 53, n. 17; Fochtman Decl., at ¶¶ 9-10.


Generation	7200.14									
Capacity	3TB	2TB	1.5TB	1TB	750GB	500GB	320GB	250GB	1TB	750GB
 Show me: What's Different What's the Same										
Form Factor	3.5"	3.5"	3.5"	3.5"	3.5"	3.5"	3.5"	3.5"	3.5"	3.5"
Interface Options	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s	SATA 6Gb/s
Performance										
Spindle Speed (RPM)	7200	7200	7200	7200	7200	7200	7200	7200	7200	7200
Cache (MB)	64	64	64	64	64	16	16	16	32	32
Transfer Rate, Max Ext (MB/s)	600	600	600	600	600	600	600	600		
Sustained Data Rate OD	210MB/s	210MB/s	210MB/s	210MB/s	210MB/s	125MB/s	125MB/s	125MB/s		
Average Latency (ms)	4.16	4.16	4.16	4.16	4.16	4.16	4.16	4.16	4.16	4.16
Reliability/Data Integrity										
Nonrecoverable Read Errors per Bits Read	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴	1 in 10 ¹⁴		
Annualized Failure Rate (AFR)		<1%	<1%	<1%	<1%	<1%	<1%	<1%	0.34%	0.34%

Figure 13: Barracuda specifications webpage, as it appeared on November 2012.⁸⁸

I do not believe this omission was accidental, as the 3TB Drive's AFR was blank for the December 2012 and January 2013 specification pages as well.⁸⁹ Omitting the AFR for one drive capacity while including it for other capacities in the same drive family is anomalous and indicates that there is a problem with the omitted drive. In my experience, hard drive manufacturers are eager to tout the AFR of their drives if they are less than 1% because it is a benchmark of drive reliability. If the AFR of the 3TB Drive had been 0.34%, or even <1%, Seagate surely would have included it alongside the specifications for the other capacities, and its omission further demonstrates that Seagate knew that the AFR for the 3TB Drive was higher. As discussed in the preceding sections, internal Seagate documents confirm that this was the case.

⁸⁸ Seagate, *Barracuda Desktop Hard Drive*, <https://web.archive.org/web/20121107201536/http://www.seagate.com/internal-hard-drives/desktop-hard-drives/barracuda/> (archived Nov. 7, 2012) (click on "Specs").

⁸⁹ Seagate, *Barracuda Desktop Hard Drive*, <https://web.archive.org/web/20121209052449/http://www.seagate.com/internal-hard-drives/desktop-hard-drives/barracuda/> (archived Dec. 9, 2012) (click on "Specs"); Seagate, *Barracuda Desktop Hard Drive*, <https://web.archive.org/web/20130101172949/http://www.seagate.com/internal-hard-drives/desktop-hard-drives/barracuda/> (archived Jan. 1, 2013) (click on "Specs").

64. Thus, it is my opinion that, despite knowing that the AFR of the 3TB was higher, Seagate chose to misleadingly quote the AFR as “0.34%, <1%” on the main “Desktop Hard Drives” page (hereafter, “main page”) without informing the consumer that it was a combined statistic or that it did not apply to the 3TB Drive, which was Seagate’s newest desktop hard drive.⁹⁰ Moreover, by September 2013 at the latest, Seagate removed all references to AFR on the specification page, while quoting the AFR on the main page as just “0.34%.”⁹¹

65. The fact that Seagate advertised the AFR of the Drive as 0.34% (or “0.34%, <1%”) on the website and in the Product Manual is significant. Adams claims that, despite having raw AFRs of over 1%, the pre-release AFR testing for the “disty” Drives contained reduced AFR projections ranging from 0.90% to 0.98%, and as such, Seagate’s AFR representations to consumers were allegedly accurate even though the projected failure rate was nearly three times the advertised AFR. Adams ignores two critical points: 1) the Grenada Classic and Grenada BP were released and sold when the AFR was being advertised by Seagate as 0.34%; and 2) post-release ORT revealed a projected AFR that was frequently above 1%, as discussed above.

66. The difference between the advertised AFR and the AFR projected by Seagate during testing is not trivial. A drive population with a projected AFR of 0.98%, for example, is expected to incur nearly three times more failures than a population with a projected AFR of 0.34%. Moreover, as discussed in the Hospodor Declaration and above, ORT testing conducted in June 2012 projected a “raw” AFR of 3.436% and a “reduced” AFR projection of 2.35% for the Grenada Classic. This testing occurred during the time the AFR was advertised as 0.34%. A

⁹⁰ See, e.g. Seagate, Desktop Hard Drives, <https://web.archive.org/web/20121123050530/http://www.seagate.com/internal-hard-drives/desktop-hard-drives/> (click on “specifications” tab) (archived Nov. 23, 2012) (example of advertisement on the main page).

⁹¹ Seagate, Desktop Hard Drives, <https://web.archive.org/web/20130911084603/http://www.seagate.com:80/internal-hard-drives/desktop-hard-drives/> (click on “Specifications” tab) (archived September 11, 2013) (advertising AFR as 0.34%); Seagate, Desktop HDD, <https://web.archive.org/web/20130914024325/http://www.seagate.com:80/internal-hard-drives/desktop-hard-drives/desktop-hdd/> (click on “Specs”) (archived Sept. 14, 2013) (specification page containing no AFR figures for the different capacities).

1 hard drive population with a projected AFR of 3.436% or 2.35% is expected to experience
 2 approximately ten times or seven times more failures, respectively, than a population with a
 3 projected AFR of 0.34%. This difference is material because, unlike many consumer products,
 4 when a hard drive fails, the consumer does not just lose the product itself, but they also lose all
 5 their personal data, work documents, and everything else they have stored on it, and recovering
 6 the data can cost thousands of dollars.

7 **2. Drives were Marketed as Reliable Throughout the Class Period, but Were**
 8 **Highly Unreliable**

9 67. Adams argues that because Seagate did not advertise the AFR for its external
 10 SBS Drives, the higher-than-normal AFR and high failure rates for the Drives are irrelevant.
 11 However, it is my understanding that this case also involves Seagate's failure to disclose that the
 12 ST3000DM001, shipped to consumers as both internal and external storage, had a high AFR and
 13 was unreliable. The reduced AFR projections calculated by Seagate during pre-release testing
 14 for the Grenada SBS and Grenada BP SBS external drives, 2.34% and 2.0%, respectively – are
 15 high and would be a cause for concern among consumers.⁹²

16 68. Adams characterizes the external drives at issue in this litigation as “standalone
 17 backup storage devices” and contends that Seagate's decision to design those Drives to be used
 18 for only two hours a day of use was reasonable for these products because they are “meant for
 19 backup purposes.”⁹³ Adams further asserts, “It would be difficult to use them for anything else,
 20 such as running a computer's operating system or acting as the primary data store for a
 21 computer.”⁹⁴ This erroneous statement makes clear that Adams is not familiar with the type of
 22 external Drives at issue in this litigation, and that he is not familiar with consumer operating
 23 environments. Consumers are not limited to using an external drive as a backup device. In fact,
 24 an external drive can be configured as USB storage device on both PC and Macintosh computers
 25 and used as the primary storage device. Adams appears to be unfamiliar with the concept of

26 ⁹² FED_SEAG0026697, at 26704-26705 (Grenada SBS); FED_SEAG0026867, at 26887
 27 (Grenada BP SBS).

28 ⁹³ Adams Decl., at ¶¶ 12, 44.

⁹⁴ *Id.* at ¶¶ 44.

1 “boot priority” where a computer is simply configured to boot directly from a USB attached
2 device and treat it as primary storage.

3 69. Seagate’s External SBS Drives were not marketed exclusively for backup. For
4 example, the GoFlex Home was marketed as a home server and advertised as a “network storage
5 system” that connected to the consumer’s WiFi router.⁹⁵ It “automatically and **continuously**”
6 backed up files from multiple computers and allowed consumers to access files from the GoFlex
7 “from **every computer** in the home” and from computers and mobile devices over the internet.⁹⁶
8 Moreover, the GoFlex home could stream media, such as movies, to game consoles, computers,
9 and other devices.⁹⁷ Such an application could not possibly be characterized as occasional use
10 and, given the fact that the GoFlex Home was promoted as a home server, consumers very likely
11 used the device for substantially more than 2 hours a day (only 730 hours a year).

12 70. Likewise, the Expansion Desk, which is another external SBS Drive using the
13 ST3000DM001, was not marketed by Seagate as a backup Drive and did not come with backup
14 software. Rather, it was advertised on Seagate’s website, in a data sheet, and on the product’s
15 box as “instantly” adding storage to the consumer’s computer or serving as “add-on storage.”⁹⁸
16 Seagate also promoted it as being compatible with the Xbox gaming console.⁹⁹ This means that
17 the Expansion Desk, as its name implies, was not meant to be used as a backup device but rather
18 as a second hard drive from which consumers would access files and run programs and games
19 *directly*. Such an application is common because some computers, including most laptops and
20 gaming consoles such as the Xbox, cannot accommodate more than one internal hard drive.
21 Thus, if a consumer wants to expand their storage space, they can either replace their existing

22 ⁹⁵ FED_SEAG007549.

23 ⁹⁶ *Id.* (emphasis added)

24 ⁹⁷ *Id.*

25 ⁹⁸ See, e.g. FED_SEAG0008835, at 8887 (box); Expansion Data Sheet,
26 <https://web.archive.org/web/20120416235846/http://www.seagate.com:80/www-content/product-content/expansion-fam/expansion-external/en-us/docs/expansion-external-usb3-datasheet-en-us.pdf>; Seagate, *Expansion Desktop*,
27 <https://web.archive.org/web/20130612214837/http://www.seagate.com/external-hard-drives/desktop-hard-drives/expansion-hard-drive/> (archived June 12, 2013) (website advertisements).

28 ⁹⁹ See FED_SEAG0005005 (box stating “Compatible with Xbox One”).

1 internal drive with a larger capacity drive (which can be disruptive) or supplement their existing
 2 internal drive with an external one. Given the advertised uses of the Expansion Desk, expecting
 3 it to be used for a mere two hours a day is unreasonable.

4 71. Seagate also sold accessories that could turn any external Drive into a home
 5 server and media streaming device, much like the GoFlex Home.¹⁰⁰ All of the external Drives at
 6 issue in this case could be used for these purposes because they were compatible with USB 3.0.
 7 The term “USB” stands for Universal Serial Bus, and it is the means by which an external hard
 8 drive is connected to a computer (i.e. the user plugs the external drive’s USB cable into the
 9 computer’s USB port). This is significant, because USB 3.0 has a raw transfer speed of 625
 10 megabytes per second. The ST3000DM001 has a maximum transfer rate of 210 megabytes per
 11 second,¹⁰¹ which is about one-third of the USB 3.0 peak rate. This means that a consumer using
 12 one of Seagate’s external Drives with a USB cable would expect to see little difference in
 13 performance compared to the same Drive mounted internally in a computer and connected via a
 14 SATA interface. As such, I find Adams’ assertion that it would be difficult to use the external
 15 Drives for anything other than “backup purposes,” such as “acting as the primary data store for a
 16 computer,” to be unsupported. Seagate, at the time, was advertising the external Drives for a
 17 variety of operating environments beyond “backup purposes.”

18 72. Adams contends that Seagate requires SBS Drives to meet an MTBF of 100,000
 19 hours, which could “reasonably result in a projected AFR [of] <1% for external, USB products
 20 like these” because they were “expected to have fairly low usage.”¹⁰² To the extent that Seagate
 21 engineers expected the Drives to have a low usage, they clearly were not on the same page as
 22 Seagate’s marketing department. Moreover, if external Drives like the GoFlex Home and
 23 Expansion were used for around 2400 POH a year, which is likely given how they were
 24

25 ¹⁰⁰ Seagate, *HD Media Player*,
 26 [https://web.archive.org/web/20111202061650/http://www.seagate.com:80/www/en-](https://web.archive.org/web/20111202061650/http://www.seagate.com:80/www/en-us/products/home_entertainment/hd-media-player)
 27 [us/products/home_entertainment/hd-media-player](https://web.archive.org/web/20111130142753/http://www.seagate.com:80/www/en-us/products/network_storage/file-sharing/) (archived Dec. 2, 2011); Seagate, *File*
 28 *Sharing*, [https://web.archive.org/web/20111130142753/http://www.seagate.com:80/www/en-](https://web.archive.org/web/20111130142753/http://www.seagate.com:80/www/en-us/products/network_storage/file-sharing/)
[us/products/network_storage/file-sharing/](https://web.archive.org/web/20111130142753/http://www.seagate.com:80/www/en-us/products/network_storage/file-sharing/) (archived Nov. 30, 2011).

¹⁰¹ FED_SEAG009107.

¹⁰² Adams Decl., at ¶ 56.

advised, 100,000 hours MTBF would not equate to <1% AFR. Rather, the AFR would be approximately 2.3%.

3. Seagate Documents Indicate That The Internal Drive Kit was an SBS Drive

73. As discussed above and in the Hospodor declaration, Seagate projected a “reduced” AFR of 2.34% for the Grenada Classic SBS and 2.0% for the Grenada BP SBS Drives. Adams argues that these figures are irrelevant because Seagate did not advertise the AFR for SBS drives. However, based upon my review of the documents, it appears that the Internal Retail Kit was indeed an SBS Drive. Although Dewey contends in his declaration that it was not an SBS Drive, his position is contradicted by internal Seagate documents.¹⁰³

74. The Internal Retail Kit was a Drive packaged with cables and other accessories. The retail box that it was sold in stated that it was a “Barracuda” or “Desktop HDD” 3TB Drive. Accordingly, a consumer would reasonably believe that the AFR advertisements for the Barracuda and Desktop HDD applied to it. The below figure is from a standard record that Seagate keeps of warranty returns, and this specific record pertains to an Internal Retail Kit Drive returned by Plaintiff Dortch. It states that the Internal Kit was part of the “Seagate Branded Solutions” (SBS) market segment.

Model	www	Capacity	Mkt Seg	Sub Mkt Seg	App Seg	Mkt Name	Internal Name	Design App.
STBD3000100		3000GB	Seagate Branded Solutions	Branded Direct Attached	Branded Direct Attached Storage	DESKTOP HDD INT KIT	3.5 INT RETAIL KIT	PSG
Manufacture			Shipment(2 of 2)			Return		
Serial Z1F3Q1D2			Ship Date 08-Oct-2013			Return Date 13-Oct-2014		
Alt. Serial			Order Category NB			Issue Date 19-Sep-2014		
Customer Serial Number			SPA			Cascaded Return		
Customer Part Number			Protected Warranty N Status			Return Code WF		
Product 9JB1N4-575			Ship To Sales Region NORTH AND SOUTH AMERICA, CANADA			Return Warranty Exchange Desc. - Field Failure		
Product Substitution								
Source Org Seagate								

Figure 14: FED_SEAG0036020, at 36024.

¹⁰³ Dewey Decl., at ¶ 7.

75. Other documents state the same. For example, the below figure contains the relevant columns of a warranty return report generated in April 2016. It shows that the Internal Retail Kit is an SBS Drive.

Return Site Region	Rqstd Market Segment	Rqstd Sub Market Segment Desc	Rqstd Internal Product Name	Rqstd ST Model	Rqstd Product Part Number	*CSO Platform	Rqstd Product Mktg Name	Rqstd Interface
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA
AMER	SBS	Branded Direct Attached	3.5 INT RETAIL KIT	STBD3000100	9JB1N4-576	SBS	DESKTOP HDD INT KIT	SATA

Figure 15: Warranty Return Report, FED_SEAG0028126

76. Since the Internal Retail Kit is an SBS Drive, the pre-release AFR that Seagate calculated for the SBS Drives apply to it.¹⁰⁴ The Grenada and Grenada BP SBS Drives were released and sold when the AFR was advertised on the website and April 2011 Product Manual as 0.34% (or “0.34%, <1%”). The AFRs calculated by Seagate – 2.34% and 2.0% – were approximately 688% and 588% greater than the advertised AFR of 0.34%. Even if the AFR was advertised as <1% instead of 0.34%, the aforementioned AFR figures were still significantly higher.

F. Adams Ignores That The ECR Logs and Changed Specifications Demonstrate the Drive was Unstable and Shipped Prematurely

77. The Adams Declaration asserts that the number and pattern of the ECRs cannot be used to determine AFR.¹⁰⁵ No such claim was made in the Hospodor Declaration. Rather, the point that Adams selectively ignores is that an ECR rate of more than one a day is indicative of an unstable, prematurely released product. An ECR is an Engineering **Change** Request. Thus,

¹⁰⁴ I recognize that the internal Seagate document containing the AFR results for Grenada Classic SBS was for the release of the external Drive codenamed “Rockit,” which is the GoFlex. However, the AFR testing itself was on the Grenada (i.e. the ST3000DM001 Drive), not the Rockit as a whole. Moreover, it is my understanding that Seagate has not produced any similar documents for any other Grenada Classic SBS Drives, thus Seagate presumably relied on the AFR contained in the above-mentioned document. In any event, there is no indication that the document containing the results for the Grenada BP SBS Drives was limited to one specific Drive.

¹⁰⁵ Adams Decl. ¶ 88.

1 although there are some limited exceptions, by definition, an ECR changes the product. If a
2 product is being changed every day, then it is inherently not a stable product.

3 78. Adams also dismisses as irrelevant the fact that 696 of 732 ECRs for Grenada
4 Classic were designated *by Seagate employees* as “Serious.” The employees entering the ECRs
5 had a plethora of choices in making this selection including “minor”, “serious”, “critical”, and
6 “emergency”. Adams portrays all the ECRs as being run of the mill, largely insignificant
7 changes, such as qualifying new parts. However, Seagate’s own employees, when given the
8 choice closest to Adam’s characterization (i.e. minor), instead opted to use “serious.” Adams
9 then complains that the Hospodor Declaration does not explain how a serious ECR equates to a
10 problem with the Drives. However, if Seagate’s own employees are of the opinion that they
11 need to make 696 “serious” changes to Grenada, then it’s self-evident that there were problems
12 with the Drive. Also note that Adams is silent on the 40 *critical* ECRs and the 16 *emergency*
13 ECRs. Adams also opines that the number and pattern of the ECRs is normal.¹⁰⁶ However,
14 Adams offers no evidence to support his contention.

15 79. Adams next turns to the analysis performed on the ECR data.¹⁰⁷ He criticizes the
16 choice of sorting on some fields rather than others. In particular, Adams dismisses the
17 categorization of Customer Code, Mechanical, and Electrical, despite the fact that it is precisely
18 one of the main categorizations employed by Seagate. Indeed, as part of entering an ECR,
19 Seagate requires the user to make a selection from one of these categories. If it is an irrelevant
20 distinction then Adam’s complaint should be with Seagate.

21 80. Adams claims that the data should have been sorted by ECR reason in an attempt
22 to argue that, since the “Improvement – Quality / Reliability” field purportedly amounted to a
23 mere 3.81% of the issues, the Drive must not have had a material reliability problem. This
24 argument falls flat. In order to make his argument that reliability must not have been an issue,

25 ¹⁰⁶ Adams Decl. ¶ 91. Relatedly, in his report Adams goes to great lengths to argue that
26 “low yield also does not mean the drives were unreliable.” *Id.*, at ¶ 85. However, even
27 Seagate’s ghostwritten rebuttal to the Backblaze blog posts acknowledges that “Seagate
28 engineers all emphasize how sensitive they are to yield numbers and impact that has on the
bottom lines of Seagate and customers alike. ‘A high yielding product is typically a highly
reliable product’ noted one development specialist.” FED_SEAG0001029, at 1033.

¹⁰⁷ Adams Decl. ¶ 92.

Adams ignores the number one reason for an ECR, “Improvement – Design Engineering,” which, by its very nature, is directly related to reliability. Adams also fails to reference the fifth most common reason, “Correct Error,” nor does he mention the sixth most common reason, “Improvement –Manufacturing Process”, which means that Seagate is improving the way they make the Drives, which, again, is directly related to reliability. Collectively, the first, fifth, sixth, and tenth reasons in Adams’ chart represent 41.26% or 422 of the ECRs.

81. Adams casts aspersions on the source of the data that was used for the analysis. Given that Adams supposedly believes that the data supports his view that the drives were not defective, it’s surprising that he would take this position. Regardless, since he raises the question as to where the data came from, I will provide an answer. Although dates are a critical part of any ECR record, the ECR data originally produced by Seagate contained no dates.¹⁰⁸ When asked to remedy this problem, rather than produce the same report with dates, Seagate produced a different report.¹⁰⁹ This report had dates but lacked most of the other information that appeared in the initial production. However, since both reports included the ECR number, it was possible to merge the two data sets. The merged data set can then be analyzed using standard Excel tools which allow selection by various criteria including date ranges.

82. After grudgingly accepting that the underlying data are legitimate, Adams dismisses the data as being typical. He is careful to address the timing of the ECRs (“the basic distribution and timing of the ECRs shown do not seem unusual in my experience”), but at no time does he address the number of the ECRs. It is the sheer rate of ECRs that is indicative of a process out of control.

83. As to Adams’ criticisms of the ECR examples addressed in the Hospodor Declaration, in nearly each instance, he either misstates my opinion or misses the point entirely. For instance, at Paragraph 95(a) of his declaration, Adams states “there is no indication of a burnt switching regulators in ECR0133245”. Adams is correct that the ECR entry makes no

¹⁰⁸ FED_SEAG0027240. Typically, there is a date for when the ECR was raised and at least a date for when it was resolved. There are often other dates such as when the ECR was assigned to an individual to investigate.

¹⁰⁹ FED_SEAG0054825.

such mention of a burnt regulator. However, had Adams reviewed the documents related to this particular ECR, he would have discovered the following entry:

Grenada MAT 1.2/1.3/BtC/2.0 Combined FE Table (cont.)										04/27/20
SPPL-039: Hard Errors Due To Ineffective DC Gap Recovery	Register Change: 0x1ac0x798F 6.0x73=0x137 to set gap recovery after read instead of gap recovery after servo.	Validation of 9 total Grenada Bacall failures. 1 of 9 failures is not recoverable	4	0.216%	73%	80%	6.835%	6.833%	PPL-402796/PPL-402795/PPL-402794/PPL-402793	
SPPL-049: Burnt 5V Regulator due to Transient - Fairchild	Non issue for SBS. Resistor value change (10 to 1ohm) for added margin. Gren02 PCBA being worked for Disty/OEM customers		4	0.216%	100%	100%	6.790%	6.790%	PPL-402296/PPL-402295/PPL-402294/PPL-402293	

Figure 16: FED_SEAG0000065, at 69

The key language reads:

SPPL-049: **Burnt 5V Regulator due to transient** – Fairchild.
Non issue for SBS. Resistor value change (10 to 1 ohm) for added margin. Gren02 PCBA being reworked for Disty/OEM customers (Emphasis added)

84. Thus, contrary to Adams’ assertion, the ECR was indeed related to a burnt switching regulator. He then asserts “that this issue was found and fixed before the Grenada Classic drive was ever released”, implying that I was unaware of this. Adams is completely wrong. Below is the relevant excerpt from the Hospodor Declaration:

Shortly before the Drive was to be put into production, Seagate discovered that it had made a significant design mistake around a switching regulator which could result in the regulator being burnt. Switching regulator circuits are not trivial to design, so a blunder of this magnitude at this stage of development is remarkable.¹¹⁰

The point, which Adams completely misses, was that a product that was just about to be put into production contained a major design error that resulted in a component being burnt. Adams does not address this point at all.

85. Adams also comments on ECR0135418, stating that this “this ECR simply allowed use of a second source for the FAN5353 part, and was not a reliability issue nor a design change.” Once again, Adams mischaracterizes my opinion and completely ignores the key points. The Hospodor Declaration stated, “It is unclear from the ECR description whether Seagate changed the output voltage (which would be enormously significant) or integrated an

¹¹⁰ Hospodor Decl., ¶ 138.

1 alternate part that needed a slight tweak to the resistors.”¹¹¹ Thus, I recognized the possibility
 2 that this ECR was about an alternate part. However, they key points that I made and which
 3 Adams ignored were:

4 On May 10, 2011, two weeks after the ST3000DM001 was first
 5 released to production, ECR0135418 was raised and designated as
 “Critical Priority” and “Improvement- Design Engineering.” . . .

6 Regardless, it is quite remarkable that a change of this type would
 7 be made two weeks after the product was released into mass
 8 production because such a change is normally processed months
 before a product is released to manufacturing.¹¹²

9 For Adams to characterize a critical priority ECR two weeks after the drive was introduced into
 10 production as a routine change defies belief. Finally, Adams claims that this was not a design
 11 change. Adams is wrong- changing the values of components, such as resistors, is a design
 12 change. In the case of a buck regulator such as the FAN5353, changing the value of the external
 13 regulator feedback network (even if the ratio changes the same, such that the nominal output
 14 voltage is unchanged) is impactful because it alters the phase margin of the system and hence
 15 the stability of the regulator.

16 86. Adams also addresses on ECR0135418, stating “Dewey confirmed that
 17 ECR0135564 was for amount of solder paste applied to the flex circuit where the heads make
 18 connect to its preamplifier to improve yield.” Adams characterized it as a “minor change and
 19 contact failures are easily caught in the factory. It should have no impact on reliability.” Once
 20 again, Adams avoids the point, which I stated as follows:

21 It is critical that the correct amount of solder paste is applied to the
 22 printed circuit board, as too much or too little will lead to poor
 23 connections. Thus, the correct design and sizing of the solder
 24 stencil aperture is a critical step in ensuring a high quality printed
 25 circuit board assembly. Again, it is remarkable that within a
 couple of weeks of the ST3000DM001 being approved for
 shipment, Seagate needed to change such an important part of the
 printed circuit board manufacturing process. Problems of this type
 are normally ironed out as part of a pre-production phase.¹¹³

26
 27 ¹¹¹ Hospodor Decl., ¶ 140.

¹¹² Hospodor Decl., ¶¶ 139-140.

28 ¹¹³ Hospodor Decl., ¶ 142.

1 Rather than address the underlying problem (that a critical manufacturing step had not been
 2 done properly and that production had started), Adams dismisses it as something that is a minor,
 3 and that contact failures are easily caught in the factory. I must disagree. Contact failures are **not**
 4 easily caught. Rather, contact failures are one of the major sources of intermittent failures. These
 5 are precisely the sorts of failures that result in drives being returned to Seagate, only for Seagate
 6 to declare them as “NTF.”

7 87. Adams also attempts to address ECR0138496, stating that it simply approved a
 8 second source for the head stack assembly (“HSA”). Once again, Adams ignores the
 9 significance of the ECR, which was set forth in the Hospodor Declaration as such:

10 The HSA is a major component of a HDD, so it was unusual to
 11 see a new HSA design being introduced to the Grenada product
 12 line only four months into mass production. In fact, the HSA must
 be a stable to mass produce reliable hard drives.¹¹⁴

13 88. With regarding to the remaining ECRs Adams attempted to provide a rebuttal to,
 14 he simply stated he agreed with the Dewey Declaration with very little explanation. These ECRs
 15 – ECR0148346, ECR0149074, ECR0149636 and ECR0150131, all relate to a problem with the
 16 Drive Separator Plate. Dewey’s response is quite remarkable. He starts by stating:

17 On May 31, 2012, Seagate issued a ship hold on Grenada Classic
 18 drives because of an issue discovered in internal testing: for some
 19 disc separator plates (DSPs), one dimension was 5 thousandths of
 20 an inch (.005) shorter than they should have been, meaning that
 21 there could be contact between another part of the DSP and the
 22 disc during a shock event. While DSPs had been in use since
 2010, the problem was due to new material and the required
 tolerances in the new drives. (See Ex. 4 [FED_SEAG0026751], at
 26781.) In fact, the problem was rare enough that it only emerged
 once Seagate began producing larger volumes of drives—the
 problem didn’t surface in smaller productions.

23 89. Dewey makes many significant admissions:

- 24 a. A shock event could result in contact between the DSP and the disk. Dewey ignores
 25 the fact that such an incident is catastrophic. Rather, he treats it as something minor.

26
 27
 28 ¹¹⁴ Hospodor Decl., ¶ 146.

- b. The problem allegedly occurred because of new material. The unavoidable conclusion of this statement is that Seagate changed the material specification on a key part without understanding the ramifications of doing so. This is simply careless.
- c. The problem also occurred because of tighter tolerances in the new drives. This is a stunning admission, as it confirms that Seagate simply used an existing part in a new drive design without doing the requisite tolerance analysis. This is the epitome of neglect.
- d. The problem was “rare enough that it only emerged once Seagate began producing larger volumes of drives.” This is perhaps the most interesting admission. The implication is that Seagate’s testing procedures were not sensitive enough to detect this problem (which was present from day 1 of the Grenada production). It tacitly acknowledges that Seagate shipped a substantial number of drives with this defect. Furthermore, it indicates that drives suffering from this problem could be labeled as No Trouble Found (“NTF”).

90. Dewey then characterizes the string of events that occurred as being perfectly reasonable and ordinary. However, they clearly were not. As I explained in my original declaration:

On June 25, 2012, ECR 0149074 was raised. This ECR stated:
ECR0148346 [the ECR discussed immediately above] was pushed through as urgent with the understanding that PN 100694007 was only a few days away from being fully qualified. It’s been several weeks and the part is still not qualified, thus it is being removed from the BOMs and ECR0148346 is being backed-out!¹¹⁵

Clearly the source of this ECR (Debra Richardson) was not happy with this state of affairs.

91. In an attempt to argue that the problems with the Drive were temporally limited or otherwise limited only to early iterations, Adams observes that the Hospodor Declaration’s ECR analysis was restricted to Grenada Classic.¹¹⁶ Adams is incorrect. The problems with the Drive continued throughout the class period and across iterations. Below, I present a similar analysis for GrenadaBP which supports my original opinions for Grenada Classic.

92. Seagate produced Engineering Change Request (“ECR”) data for the GrenadaBP. The data were produced in two separate spreadsheets. Combining the data from the two

¹¹⁵ Hospodor Decl., ¶ 151.

¹¹⁶ Adams Decl. ¶ 90.

spreadsheets, one can log the changes made to the electrical and mechanical components of the Drive, among other things. An example of what the combined data looks like is shown below:

	A	E	G	H	I	J	L	N	O	P	Q	R	S	T
1	Name	Project Name	Modified Cre	Disposition	Priority	Reason	Change Duratic	Description (WbsDescription)						
2	ECR0140566	SEA GRENADABP CC	10/5/2011	Approved	Serious Priority	Customer Unique Code/Label	Permanent	Create the following Grenada Block Point -999 CCs w/ Luxort+, using all defau						
3	ECR0141714	SEA GRENADABP CC	11/7/2011	Approved	Serious Priority	Customer Unique Code/Label	Permanent	Create the following new Grenada BP CCs for SSH: 1CM162-999 1CM164-999						
4	ECR0141715	SEA GRENADABP CC	11/7/2011	Approved	Serious Priority	Customer Unique Code/Label	Permanent	Create the following Grenada BP Depop 2.5TB Native SHd CC: 1CH16J-999 Cc						
5	ECR0141716	SEA GRENADABP CC	11/7/2011	Approved	Serious Priority	Customer Unique Code/Label	Permanent	Create the following WaterFall CC for Grenada BP 500GB: 1CH14C-999 Copy						
6	ECR0142506	SEA GRENADABP CC	11/21/2011	Approved	Serious Priority	Document update	Permanent	GRENADABP: Revise all CC's as project was not registered prior to being rele						
7	ECR0142658	SEA GRENADABP CC	12/5/2011	Approved	Serious Priority	Customer Unique Label CC	Permanent	GRENADABP: Create NearLine Lite Engineering Eval -999 Configurations w/ L						
8	ECR0143437	SEA GRENADABP CC	1/4/2012	Approved	Serious Priority	Customer Unique Label CC	Permanent	Release the following GrenadaBP CTU -900 CCs: 1CH14C-900 500, ST500DM0C						
9	ECR0143445	SEA GRENADABP CC	1/4/2012	Approved	Serious Priority	Customer Unique Label CC	Permanent	Release the following GrenadaBP CTU -700 CCs for Apple: 1CH162-700 No fir						
10	ECR0143610	SEA GRENADABP CC	1/9/2012	Approved	Serious Priority	Correct error	Permanent	Correct the following error introduced in ECR0143445, Incorporated, Permane						
11	ECR0143678	SEA GRENADABP CC	1/11/2012	Approved	Emergency Priority	Unique Test Requirements	Permanent	Correct the user LBA count to 5860533168 (3TB IDEMA LBA) - Revise 1CX166-5						
12	ECR0143945	SEA GRENADABP CC	1/19/2012	Approved	Serious Priority	Improvement - Design Engineer	Permanent	Grenada BP: Removing PCB foam from 1CH*-999 configs -----						
13	ECR0144028	SEA GRENADABP CC	1/24/2012	Approved	Serious Priority	Customer Unique Code/Label	Permanent	GrenadaBP: Create new Grenada BP SBS Tab CCs: Create 1CH162-568 Copy B						
14	ECR0144055	SEA GRENADABP CC	1/25/2012	Approved	Serious Priority	Customer Unique Code/Label	Permanent	Create the following Grenada BP -300 Disty CCs: 1CH162-300 Copy BOM from						
15	ECR0144066	SEA GRENADABP CC	1/25/2012	Approved	Serious Priority	Customer Unique Code/Label	Permanent	GRENADABP: Create new NL Lite -900 CTU CC Tabs -----						

Figure 17: Combined ECR data

93. The figure shows some of the key fields including the ECR's disposition, priority, reason for issuance, its duration (permanent / temporary) and its description. Note that I have hidden some fields that are of lesser importance. The following table summarizes the frequency and type of ECRs that were generated.

	Count	Percentage
Total number of ECRs:	725	
ECR's that are minor	3	0.4%
ECR's that are serious	690	95.2%
ECR's that are critical	19	2.6%
ECR's that are emergency	13	1.8%
ECRs that are permanent changes	586	80.8%
ECR's that are CC	369	50.9%
ECR's that are electrical	46	6.3%
ECR's that are mechanical	310	42.8%
ECR's that are approved	697	96.1%
ECR's that are disapproved	28	3.9%
ECR's that are 'None'	0	0.0%
ECR's that are 'investigate'	0	0.0%
CC ECRs after product release	328	88.9%
Electrical ECRs after product release	30	65.2%
Mechanical ECRs after product release	299	96.5%
All ECR's after product release	657	90.6%

Figure 18: ECR Summary

1 94. Below, I list some noteworthy observations from the above chart.

2 a. 88.9% of ECR's occurred after the Drive was released for mass production.

3 b. Almost all ECR's were at least "serious."

4 c. Most ECRs were approved.

5 d. 80.8% of ECRs were marked as permanent. The remaining 19.2% of the ECRs
6 were called "TEMP DA" or "Temporary Deviation Authorization" by Seagate.

7 e. Most Customer Code (CC) ECRs occurred after GrenadaBP was approved for
8 production, including 30 electrical ECRs.

9 f. Two thirds of electrical ECRs occurred *after* GrenadaBP was released to
10 production.

11 g. Almost all mechanical ECRs occurred *after* GrenadaBP was released to
12 production. This represented 299 changes.

13 These are significant because mature and stable products tend to have very few changes post-
14 release, and the changes that are made are typically permanent. Thus, a large number of post-
15 release changes is indicative of an unstable product, and a large number of temporary changes is
16 indicative of quick fixes that are made to keep the production line running. For the
17 ST3000DM001, including the Grenada BP, the number of post-release changes were staggering,
18 and a substantial percentage of them were designated as temporary. The following graph shows
19 ECR data plotted by month.

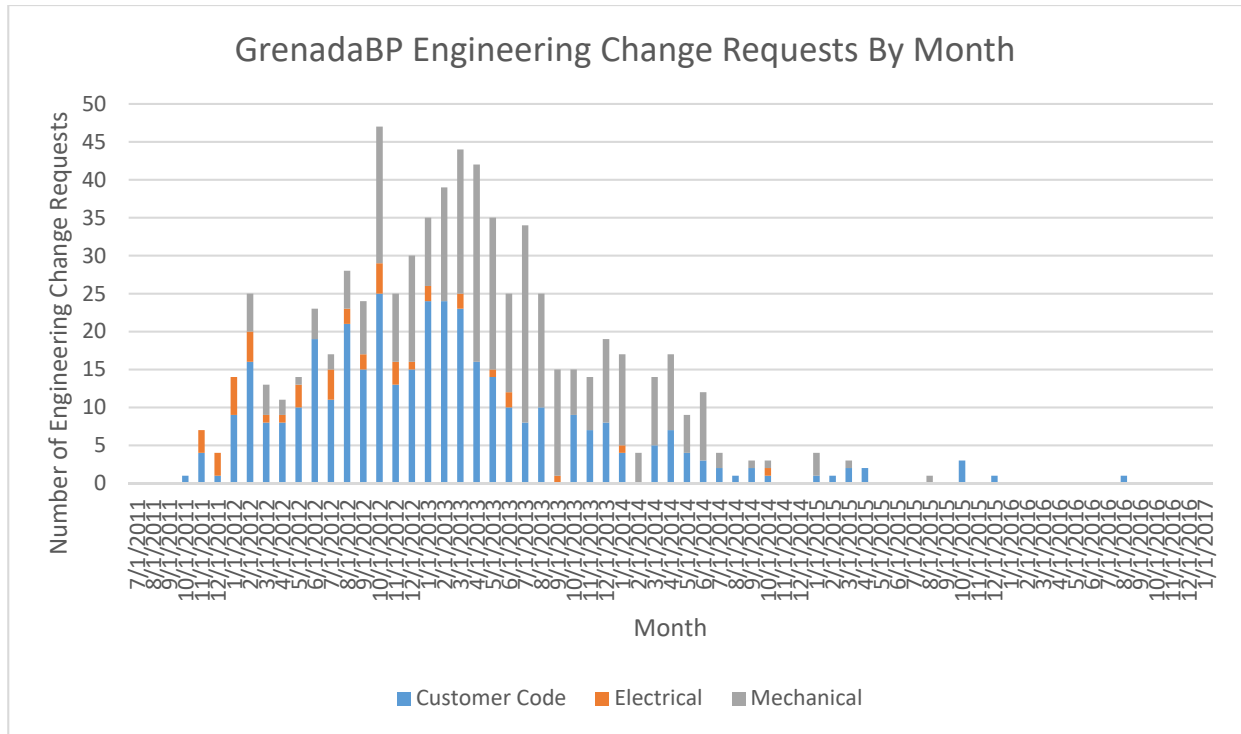


Figure 19: Grenada BP ECR Chart

95. The X axis is difficult to read so the graph below expands the first few years ECRs. The yellow highlighting at 4/18/2012 shows approximately when Grenada BP was released into mass production.

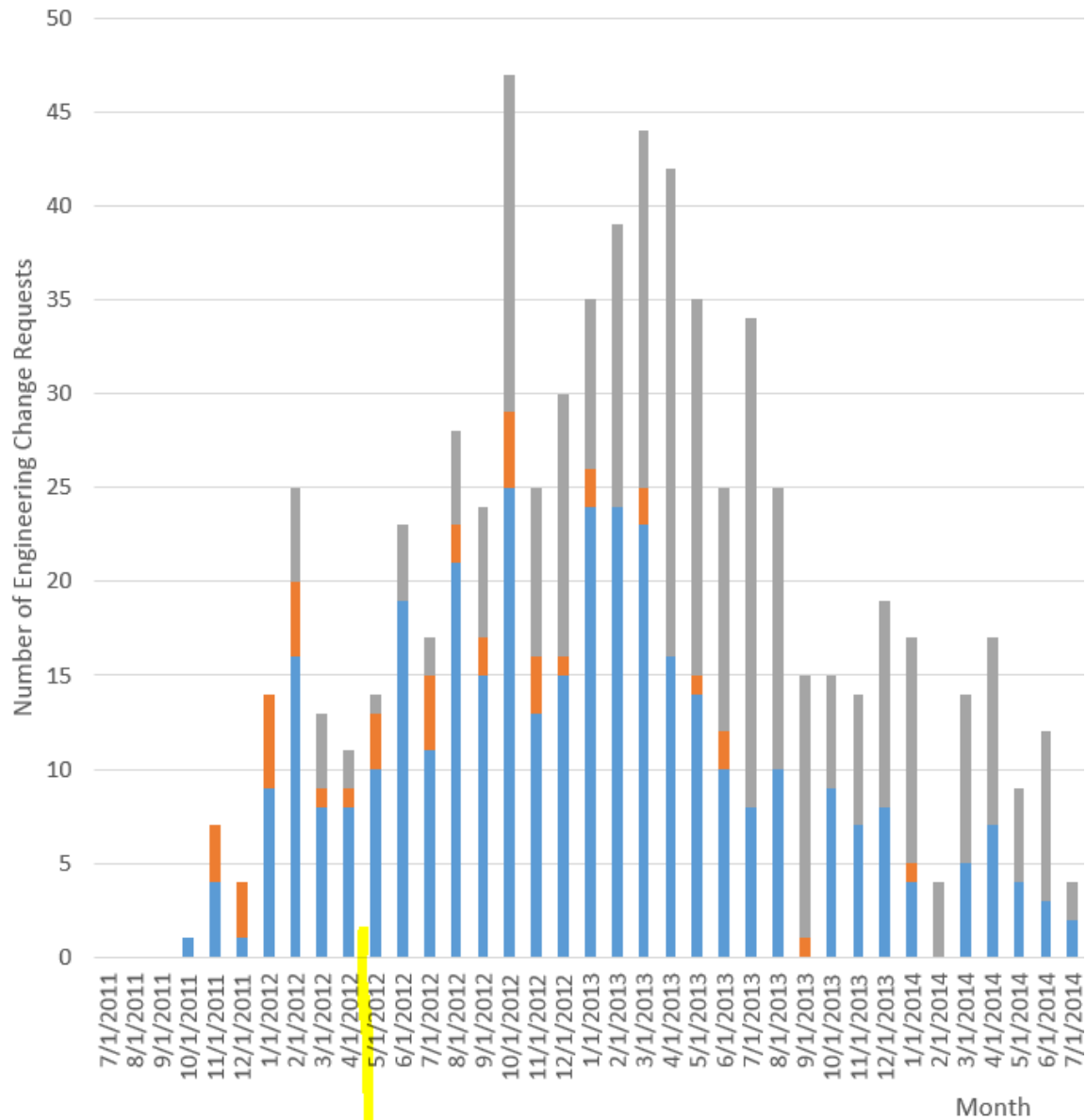


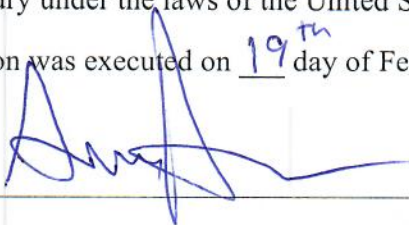
Figure 20: Grenada BP ECR Chart July 2011 to July 2014

96. Note that for 8 months the number of ECR was ≥ 30 per month, implying there was at least one change a day. Clearly, Grenada BP was not any more stable than Grenada Classic.

G. Supplementation of Opinions

97. I understand that discovery is continuing and I reserve the right to supplement this declaration or revise my opinion in light of additional information or documents that may be brought to my attention and to offer additional opinions and evidence in reply to any opinions advanced by or on behalf of defendant Seagate.

1 I declare under penalty of perjury under the laws of the United States that the foregoing is
2 true and correct and that this declaration was executed on 19th day of February 2018.
3

4 
5 _____

6 Andrew Hospodor, Ph.D
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APPENDIX 1

MATERIALS RELIED UPON OR CONSIDERED

Pleadings, Discovery Responses, Deposition Transcripts, and Declarations:

Declaration of Donald Adams in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Glen Almgren in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Harrie Netel in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Jeff Fochtman in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Karl Schweiss in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Mary Paneno in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

Declaration of Patrick Dewey in Support of Seagate's Opposition to Plaintiffs' Motion for Class Certification.

In re: Seagate Technology LLC Litigation, Second Consolidated Amended Complaint.

In re: Seagate Technology LLC Litigation, Seagate Technology, LLC's Second Amended Response to Interrogatory Nos. 9 and 10 of Plaintiffs' First Set of Interrogatories.

July 26, 2017 Deposition of Seagate 30(b)(6) Designee Glen Almgren.

September 7, 2017 Deposition of Seagate 30(b)(6) Designee Patrick Dewey.

September 8, 2017 Deposition of Andrei Khurshudov.

October 20, 2017 September 7, 2017 Deposition of Seagate 30(b)(6) Designee Alan Clark.

Websites and Documents Obtained from the Internet:

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Documents produced during discovery (beginning Bates numbers):

See Exhibit A to Appendix 1.

EXHIBIT A TO APPENDIX 1

Begin Bates	End Bates
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BB_CTRL0001322	BB_CTRL0001322
BB_CTRL0001887	BB_CTRL0001887
BB_CTRL0001888	BB_CTRL0001888
BB_CTRL0001894	BB_CTRL0001894
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